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ABSTRACT

The purpose of this notebook is to offer guidance to California school districts in developing a total, systematic evaluation and assessment system inclusive of all certificated personnel within the district. The Stull Act requires that all certificated personnel be evaluated in relation to expected student achievement. This suggests a discrepancy type problem-solving approach in which student needs are diagnosed; discrepancies between "what is" and "what should be" noted; plans developed for mitigating the discrepancies; student growth evaluation processes developed; and only then comes the development of a clear specification of the role of each certificated person. There is no single appraised design which will fit the needs of every district, so this notebook provides over 15 sample illustrations of goals and objectives, standards for performance, appraisal steps and schedules, and rating forms. (BW)

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PERFORMANCE EVALUATION AND APPRAISAL OF CERTIFICATED STAFF

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ROWLAND UNIFIED SCHOOL DISTRICT
SAN DIEGO UNIFIED SCHOOL DISTRICT
PORTERVILLE SCHOOL DISTRICT

and many other districts from whom
these ideas have been borrowed. . .

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OVERVIEW AND PURPOSE

Performance evaluation of professional educators has always been a primary concern to all of us within education. Legislation has given new impetus to the development of a "uniform system of evaluation and assessment of the performance of certificated personnel within each school district of the State" (Education Code 44660). This legislation (Stull Act, see Appendix A) gives emphasis to evaluation since it calls for the development of a total evaluation and assessment system covering the performance of teachers, principals, directors, assistant superintendents, superintendents, and other certificated professionals within the school district. Previous publications from ACSA designed to help administrators develop evaluation systems (Operations Notebooks #9, "Stull Bill Progress Report: Teacher Evaluation," and #12, "Evaluation, Reassignment, and Legal Rights of School Administrators") were aimed at discrete categories within the certificated personnel classification. The legislation calls for a clear identification of the essential interrelationships between teachers, administrators, and support personnel as it related to their contribution to student achievement. The purpose of the Operations Notebook #14, therefore, is to offer guidance to school districts in developing a total, systematic evaluation and assessment system inclusive of all certificated personnel within the district.

It should be emphasized at the outset, however, that all of the guidelines, forms, timelines, and suggestions in the subsequent chapters of this Operations Notebook are intended only as suggestions or aids for developing systems of evaluation and assessment and are not, of course, intended to be interpreted as mandated by the State or any other group. On

the contrary, the task force which analyzed the new legislation and formulated the problems involved, and who developed or pieced together the materials in this notebook, was very cognizant of the wide diversity of school districts within California and recognized that many districts have already moved far down the road in developing total evaluation and assessment systems. The task force hoped, however, to provide enough suggestions to assist all districts in their review of current practices and modifying such practices whenever they judge necessary or to whatever extent they feel necessary to meet the requirements of the law.

The Stull Act took effect January 1, 1976, and added a new dimension for some school districts within the State. It requires that "the competency of all certificated personnel shall be evaluated and assessed as it reasonably related to expected student achievement. It also requires each governing board "to establish specified standards of expected student achievement." What this means, for all intents and purposes, is that each component of the evaluation system, from teacher through the superintendent, must have and show a clearly interlinked relationship both between each certificated level and defined student progress needs and outcomes.

In a sense, then, the new legislation suggests a discrepancy type problem solving approach to evaluation and assessment in which student needs are diagnosed; discrepancies between "what is" and "what should be" noted; plans developed for mitigating the discrepancies; student growth evaluation processes developed; and then, once all of that has been accomplished, the development of a clear specification of what each certificated person in the system as it is implemented.

Readers should note that the re-emphasis of the Stull Act on expected student achievement does not preclude the inclusion of many other elements in a comprehensive evaluation assessment system. Elements, such as job responsibilities, non-instructional duties, supervision duties, learning environment, personal and professional growth, etc., have an important place in a total performance review system. The law includes the following statement "nothing in this section shall be construed as in any way limiting the authority of school district governing boards to develop and adopt additional evaluation and assessment guidelines or criteria." Examples included in this notebook will provide many helpful hints to assist district personnel in their development of an effective performance review system.

Other implications of the law are related to school district organization. While the evaluation system described above could result from any number of organizational patterns, it is obvious that decision making which calls for an interfacing of the performance evaluation of teachers and administrators, as well as certificated support personnel, means a considerable collegial effort among all certificated personnel to ensure that each person in the system clearly knows his responsibilities and authorities as they relate to student achievement goals, the monitoring of the system, and the evaluation of results. In school districts which have participatory management models, the interfacing of evaluation and assessment criteria for all certificated personnel is assumed to be an integral component of organizational planning. In organizations in which the line and staff relationships follow clearly defined decision making lines, the development of a systematic evaluation and assessment system

for all certificated personnel still calls for involvement of those affected by the system. In either case, the governing board is the final authority, as stated in the law.

The development of a certificated evaluation and assessment system, therefore, becomes the school district's responsibility. It is the district which must decide on priorities and how it evaluates the performance of its employees in reaching those priorities. It is the district which determines the needs of its students and demands that its certificated personnel be held accountable for meeting those needs. The district, furthermore, is required to use defined performance criteria as the basis for the dismissal or reassignment of all certificated personnel. It is assumed that once each certificated person in the system clearly knows his responsibilities, that documented evidence of failure to meet those performance expectations may become the legal basis for dismissal and/or reassignment. Readers should note that the collective bargaining legislation provides for teacher consultation regarding standards of expected student achievement. Procedures for evaluation may be negotiated and only procedures should be included in the contract.

Once the system has been completed, it must become part of the policies and regulations of the district, and a formal resolution must be passed by the governing board. After the Board has acted, the system of evaluation and assessment based on student outcomes, Section 44660-44662 of the Education Code, will have been met. The remainder of this notebook will suggest how to reach the above goal. It will offer a system for collecting necessary data, integrating the data, and increasing the information flow to insure that evaluation is not only systematic but also objective.

INTRODUCTION

There is no one single appraisal design which will fit the needs of each district in the state. However, it must be manifestly clear from the legislation, (i.e. the Stull Act) and from the literature on performance appraisal that a goal-oriented approach is perhaps more in concert with modern management theory than any other which might be suggested. We would point out that controversy and lack of continuity in appraisal systems arise because people have considered appraisal as a function separate and distinct from the general system of management itself. Evaluating performance is not incidental to the management process; it is part of the process!

With this concept in mind we suggest that there are an indeterminate number of factors that must be included in the design of a total program of appraisal. It is a demanding and complex task. As you develop or revise your program consider the interface of your appraisal package with the other factors found in the following list which are included in some of the best appraisal systems in the country. However, you must be the best judge for your organization since some elements are optional and the degree to which others are included will vary. In the final analysis a system must be tailored to the needs of each organization, including as a minimum what the law requires. It is the recommendation of the task group that the best interests of all parties are best served when these factors are printed in a district-published handbook or "guide to the appraisal process."

BASIC ELEMENTS - EFFECTIVE PERFORMANCE EVALUATION

AN EVALUATION SYSTEM IS PART OF THE OVERALL MANAGEMENT SYSTEM RATHER THAN A DISCRETE ENTITY.

EVALUATION IS A COOPERATIVE ENDEAVOR BETWEEN EVALUATOR AND EVALUATEE, AND THOSE AFFECTED BY THE PROCESS SHOULD BE INVOLVED IN DEVELOPING AND IMPLEMENTING THE PROCESS.

OPEN HONEST COMMUNICATION BETWEEN EVALUATOR AND EVALUATEE IS AN ESSENTIAL CONDITION FOR SUCCESSFUL MAINTENANCE OF THE SYSTEM.

THE FOCUS OF AN EFFECTIVE EVALUATION SYSTEM IS NOT ON "PROVING" BUT ON "IMPROVING."

EFFECTIVE EVALUATION IS A CONTINUOUS PROCESS, SENSITIVE TO THE NEED FOR MODIFICATION ACCORDING TO NEED AND EXPERIENCE.

THE PRIME PRODUCT OF EFFECTIVE EVALUATION IS IMPROVED FUNCTION, WHICH IS FACILITATED BY SPECIFIC RECOMMENDATIONS. THESE RECOMMENDATIONS GROW OUT OF INTERACTION BETWEEN EVALUATOR AND EVALUATEE.

SAMPLE ILLUSTRATION A

PHILOSOPHY

A distinction must be made here between the philosophy of appraisal which determines the intent of the performance evaluation for the district personnel. Some districts include in the appraisal handbook the essentials of the district's philosophical premise in order that any other goals or objectives subsequently written will be in concert with the societal and community values adopted by the board. A district philosophical premise would include achievable goals developed in conjunction with parents, students, and educators. In concert with the goals would be a series of objectives based on the district's expected standards of achievement in each subject area, for each school in the district, and for each class to meet needs of students.

The philosophy of appraisal attempts to answer the fundamental question: WHY evaluate? What do you really want from the process? Will a check off, rating type approach satisfy your needs or do you require the more sophisticated but time consuming goals and objectives approach? Creating the philosophy of appraisal and committing it to writing, with the assistance of those who will be evaluated, is the first and most important step in the process of developing your program. It will guide you in each subsequent step.

APPRAISAL PROGRAM GOALS

Such goals are a natural outgrowth from the work on philosophy. They should be developed and included as a set of specific guidelines or direction finders for the appraisal program. Again, it is important to hold any committee charged with developing an appraisal program from running ahead before they agree on the philosophy and goals of evaluation.

PROCEDURES AND CALENDAR

Just as a ball game or play is perhaps better appreciated and enjoyed when you have a lineup or program, the appraisal process is enhanced when specific instructions are clearly defined and written down.

Some assume that all the direction needed can be printed on the evaluation forms or instrument. The sheer limitation of space will prevent adequate discussion. A separate handbook including these procedures and all the other factors suggested herein can be of considerable assistance in developing continuity in a program.

Procedures should be a detailed, comprehensive account of each step in the entire process. Here, remember to include a list of who evaluates whom. Publish in the handbook the positions which have appraisal responsibilities and illustrate the relationships.

An appraisal time-line or calendar is a necessary corollary to this section. Show briefly what occurs at specific points during the year. Make every effort to be concise and clear in this regard.

Operations Notebook #14

CERTIFICATED EVALUATION

GUIDELINES FOR CLASSIFICATION OF CERTIFICATED PERSONNEL

The classification of certificated personnel must comply with statutory provisions in the factual situation involving each employer. Contracts are for the following classifications:

1. Permanent - employees are tenured employees.

2. Probationary - employees serving from year to year with a view toward permanent classification.

3. Temporary - employees meeting one of the following factual situations:

   a. Day to Day employment for the first three school months of the term in temporary classes, (Section 13373);

   b. Employment for not more than 20 working days to prevent stoppage of school business, (Section 13337); or,

   c. Employment for not less than 50% of the school year and up to a complete school year as a replacement for an employee on Leave of Absence for a semester or a year, or on a long term illness, (Section 13337.3).

GUIDELINES FOR CERTIFICATED EVALUATION

All temporary teachers will be evaluated twice a year. Probationary teachers will be evaluated once a year. Tenured teacher evaluations will be made for all those showing unsatisfactory performance.

1. Temporary Employees

   a. A Performance Observation followed by a written evaluation and conference Prior to December 30 followed by same Prior to June 1.

   b. In case of unsatisfactory performance, refer to "2. Probationary Employees" timeline: (b, c, d, e, and f).

2. Probationary Employees

   a. A Performance Observation followed by a written evaluation and Conference. - Prior to December 30

   b. In case of unsatisfactory performance, Evaluator will make specific recommendations for improvement and provide assistance to upgrade performance. - Continuous and on going

   c. Second evaluation for employees evidencing unsatisfactory performance followed by written report and conference by Evaluator. If reasonable improvement has not been made, the employee is warned of possible non-rehire. - Prior to January 30

d. Final written evaluation of employees previously considered performing unsatisfactorily followed by a conference by Evaluator. - Prior to February 28

e. Superintendent and Evaluator confer with employee considered for non-rehire. A written report of the conference is to be placed in the employee's file and a copy given to the employee. - Prior to March 1

f. Employees who are not to be rehired must be notified. - On or before March 15

g. Second (minimum) evaluation report transmitted to employees considered performing satisfactorily. - On or before June 1

3. Permanent Employees

a. A Performance Observation at least once every other year followed by a written evaluation and conference. - Prior to June 1

b. Written notice regarding recommendation to dismiss shall be served an employee 60 days before starting dismissal procedures.

c. In case of unsatisfactory performance, follow steps 2-3-4-5 as outlined for Probationary Employees.

APPRAISAL OF ADMINISTRATIVE AND SUPERVISORY PERFORMANCE

GENERAL PROCEDURES AND EXPLANATIONS

EACH APPRAISEE HAS AN APPRAISER AND A REVIEWER

Appraiser - Confers with the appraisee in establishing long-range goals and job targets. He assists the appraisee when necessary and later confers with the appraisee in assessing the accomplishment of the goals.

Reviewer - When requested, he will confer with the appraiser to facilitate the establishment of relevent job targets or goals. In all events, he shall serve as a sounding board against which the validity of the findings of the appraiser shall be tested. He shall sign the final appraisal form to signify that he has read it. An appraisee or appraiser may request that the reviewer be actively engaged in the appraisal process.

APPRAISAL ASSIGNMENTS

Appraiser

1. The superintendent shall serve as the appraiser for all administrators above the rank of principal.

2. The assistant superintendent shall serve as appraiser for all principals.

3. Principals shall serve as appraisers for assistant principals.

Reviewer

1. The superintendent shall serve as reviewer for all principals.

2. The assistant superintendent shall serve as reviewer for assistant principals.

APPRAISAL SCHEDULE

All members of the administrative staff are appraised each year.

Both appraiser and appraisee should refer frequently to the section in this handbook entitled Role Expectations for Administrative Personnel. These descriptions are to be used in reflecting on performance expectancies. They are guides for the insightful administrator or supervisor to use in setting objectives for his own performance.

Typical targets might be:

- Designing staff handbook for entire high school

- Developing procedural handbooks for office personnel

- Setting up committee of parents and staff to evaluate PR program

- Implementing a new accounting procedure

- Organizing staff committee to pursue reorganization of English department, etc.

- Designing inservice workshop for teachers in writing objectives

- Improving the professional library at school

Both long-range goals and short-range objectives or job targets will involve performance that needs strengthening, improving or maintaining. It should also be stressed that goal setting envisions the use of perception and creativity on the part of the individual, because he is placed in the unique position of being actively involved in setting the dimensions of the task for which he will be held accountable.

While a number of administrators at various levels do not actively face pupils in the classroom, it is of paramount importance that as many as possible of the goals and/or objectives established by each administrator be related to the way in which their services shall influence pupil progress. The business of schools is educating children and young adults.

The appraisee through critical self-appraisal seeks to identify needs for which objectives will be written. The appraiser will help in pointing out needs from his vantage point as observer. The results of their working together shall be reflected in goals and objectives which are mutually acceptable. Both should use the criteria that goals and objectives must be:

- SPECIFIC
- CHALLENGING
- REALISTIC
- MANAGEABLE
- MEASURABLE

A GUIDELINE
EVALUATION BY OBJECTIVES
APPRAISAL STEPS FOR TEACHERS

Dates	Procedures
Prior to Goal Setting Conference	A comprehensive program of inservice training will be given for all certificated personnel who are entering the Appraisal Program for the first time. Each certificated employee reviews the district appraisal handbook and job description specification and, after assessing his/her students' needs, begins to identify his/her goals and objectives.
September to October 15	a. Principal conducts observations prior to target setting conference using the Supervisor's Appraisal Worksheet. b. Teacher reviews performance by using Self-Appraisal Worksheet. c. Principal and Teacher hold target setting conference and Principal completes Target Sheets.
Oct. 15 to Dec. 15	a. Principal acts as a resource to teacher for Target accomplishment. b. Teacher executes plan for Target Accomplishment. c. Principal and teacher hold Target assessment conference.
NOTE: By December 15	Interim appraisal conferences for all probationary teachers must take place and any tenured teachers who may need to request such a conference.
By January 25	Any employee who is being considered for dismissal must be notified so Appeal Process, if requested may begin. (See Schedule for Appeal Process, page 43)
By March 1	If serious difficulty exists regarding appraisee's performance, a final appraisal conference must be held prior to March 1.
December 15 to April 15	Continued data gathering and monitoring of progress towards goals and objectives.
By April 15	Final appraisal conferences must take place.

ROLE EXPECTATIONS

These are more than "job descriptions." Traditionally job specs are minimal in nature, outlining the basic responsibilities of a position. The specs should be included and available for reference alongside role expectations to assist in capturing the total picture of responsibility and authority from which a person draws up personalized goals and objectives.

ROLE EXPECTATIONS, known variously as competencies or performance criteria or standards or indicators of effectiveness or specifications of the task or performance improvement standards or defined roles, constitute the WHAT of an appraisal program.

Role expectations are detailed, comprehensive descriptions of optimum behavior for the appraisee in specific areas of responsibility and authority where competency is required. For the teacher the roles might include instructional skills (diagnostic and prescriptive techniques), classroom management, counseling and guidance, communication, professional growth. Certainly in one or the other of the above areas there will be statements covering in some degree of specificity "maintenance of a suitable learning environment" and "control of students" and "responsibilities in the area of non-instructional duties."

For the administrator or supervisor the roles can well include curriculum and instruction, personnel management, finance and business, school-community relations, administration and organization, professional growth. The task group feels it imperative to suggest that the roles must now include some specific reference to expectations in the area of "contract management."

These expectations are used as reference points by both parties to the appraisal process. They hopefully describe WHAT is it that is being evaluated. They can serve to remind the evaluator and/or the evaluatee (appraiser/appraisee) of specific areas of competency which need to be improved. While some will refer to these statements as standards, the task group would suggest that each is merely a description of optimum behavior and only becomes a "standard" when the appraisee agrees to seek said behavior as his target. Peter Drucker puts it succinctly in his book The Practice of Management when he says, "appraisal must be based on performance. Appraisal is judgement, and judgement always requires a definite standard. To judge means to apply a set of values; and value judgements without clear, sharp and public standards are irrational and arbitrary. They corrupt alike the judge and the judged."

Thus a competency-based mode of performance appraisal requires two elements: defined role or list of critical tasks and some indication of the knowledge, ability or skills needed to perform the task. As for what is included in the area of critical tasks, it is up to the individual school board. The Stull Act states "nothing in this section shall be construed as in anyway limiting the authority of school district governing boards to develop and adopt additional evaluation and assessment guidelines or criteria."

NOTE: The task group would remind the reader that the dialogue in which groups engage in the development of role expectations can serve as an excellent vehicle for staff development. It is in this context that employees come to grips with the essence of the tasks.

INDICATORS OF ADMINISTRATIVE EFFECTIVENESS

This section of the Highland Superintendency Team Assessment Plan describes Indicators of Administrative Effectiveness in eight task areas. The categories of task are:

A. Curriculum and instruction

B. Staff Personnel

C. Pupil Personnel

D. Finance and Business Management

E. School Buildings and Equipment

F. School-Community Relations

G. Professional Growth

H. Supporting services

Beneath the heading for each task category are descriptions of administrative performance which are required to effectively perform the task. Few of these descriptions will be appropriate for all administrators, some will not; the descriptions of performance cover all levels of administration in the Highland school system.

To determine which descriptions of effective administrative performance are appropriate for him, the individual administrator must:

A. Become familiar with his formal job description.

B. Review carefully the descriptions of desirable administrative performance within each of the eight task areas.

C. Compare his formal job description with the Indicators of Effectiveness for each of the eight task areas.

EVALUATION OF SUPERINTENDENT OF SCHOOLS, PROCEDURES FOR

The President shall prepare a composite report, including all comments, which shall be signed by both the Superintendent and the President of the Board, a copy provided to the Superintendent and a copy retained in the District files to provide a continuous record of the Superintendent's service. The due date for the composite report shall be the third Monday in June. The composite report shall have a covering statement prepared by the President which shall indicate the number of pages in the report. All pages shall be numbered in consecutive order.

The planning and evaluation process shall deal with the total operation of the school district. Planning and evaluation shall be related to the following major areas:

1. Board-Superintendent Relationships
2. Community Relations
3. Personnel Relations
4. Fiscal Management
5. Plant Management
6. Learning Opportunities - Curriculum and Instruction
7. Student Performance and Demeanor
8. Long-Range Planning
9. Routine Management

Prior to the meeting dates scheduled for formal review and evaluation, the Board of Education shall receive written material which will be used in the evaluation. This material shall include, but not be limited to, the following:

1. The approved plan for the period covered.
2. Written reports which indicate:
   - 2.1 The extent to which goals and objectives have been accomplished.
   - 2.2 Documentation to support accomplishments.
   - 2.3 Rationale to explain lack of accomplishment if such is the case and corrective actions indicated.
3. The report shall be organized so that the approved objectives and the accomplishments related to the approved objectives are on facing pages with adequate space at the bottom of each page to allow for written comments.

ROLE EXPECTATION OF ADMINISTRATORS

These standards parallel the job description.

Administrators are appraised by equating the quality of performance in relation to job expectancies. The quality of performance is based upon:

I. The degree to which the building administrator meets the following expected standards of performance:

- Evaluation of Divisions/Departments/School

  . The effective operation of a division/department/school is based on the degree to which the division/department/school objective-based plan specifies and meets the following:

    . Standards of Expected Student Achievement
    . Standards of Expected Staff Performance
    . Standards for Division/Department/School Operation and Management

<u>The Division/Department/School Plan</u>

The division/department/school plan is a written document that establishes the basic criteria for meeting specific needs. It is the system for gathering and analyzing data, forecasting, identifying problems, planning, implementating, managing and evaluating programs, personnel and necessary components of the written plan. These components include but are not limited to curriculum (language arts, math etc.) staff development, parent education and involvement, multi-cultural and other optional components which could include motor development, etc.

Each staff member has a specific responsibility in relation to the preparation, implementation and evaluation of their respective division/department/school plans.

Components for School Plans include District Philosophy (already adopted in Board Policy), District Goals, Organizational Chart, Needs Assessment, Curriculum Components (Math, Language Arts/English, etc.), Optional Components, (Multi-Cultural, Motor Development, etc.), Staff Development, Parent Involvement, Parent Education, Supervisory Timelines and any other needs identified to specifically deal with the coming year. Each year the plan is evaluated and updated.

SAMPLE ILLUSTRATION E

II. The degree to which the building administrator meets the following expected standards of performance:

- Educational Planning

1. Conducts educational planning
2. Assists in consultations of non-negotiable items and problems
3. Updates annual ongoing needs assessments
4. Develops building objectives that correlate with district goals based on the results of needs assessments
5. Assists staff in developing appropriate skills and general performance expectancies for each child
6. Assists staff in utilizing appropriate diagnostic and prescriptive techniques
7. Assists staff in planning and scheduling appropriate learning activities
8. Assists in developing and revising Standards of Expected Student Achievement

- Budgeting

1. Participates in total district financial planning
2. Provides for staff participation in budget planning
3. Allocates funds appropriately within his school/division budget
4. Accounts for funds allocated
5. Records budget allocations properly
6. Expends funds appropriately
7. Audits accounts regularly

- Facilities

1. Maintains office/building facilities which meet district and maintenance standards
2. Works cooperatively with the maintenance department in developing a preventative maintenance program as appropriate
3. Works cooperatively with the maintenance department in repair of buildings as appropriate

- Organization and Control

1. Delegates duties, responsibilities and authorities to others (as appropriate)
2. Defines duties and responsibilities of assigned staff
3. Displays evidence of sound judgement
4. Selects and deploys personnel wisely
5. Develops long range plans
6. Completes assignments promptly and adequately
7. Demonstrates knowledge of contract provisions

SAMPLE ILLUSTRATION E
(continued)

- Leadership

  1. Organizes with teachers curriculum to meet the needs of individual students (as position reasonably relates to student achievement)
  2. Monitors classroom activities and schedules follow-up planning sessions with individual teachers (Principal)
  3. Schedules individual and group conferences with staff
  4. Supports the existing educational philosophy of the school district and works constructively toward that end
  5. Demonstrates leadership in developing a sound and meaningful instructional program
  6. Provides leadership and organization through which the staff members are encouraged to participate in updated inservice education
  7. Provides leadership and organization through which community and students are encouraged to participate in curriculum matters
  8. Gains the acceptance and respect of students
  9. Respects confidences
  10. Creates a climate conducive to leadership development by sharing responsibilities wherever possible
  11. Appraiser evaluates performance

- Learning Environment (Principal)

  1. Provides a well-controlled democratic environment
  2. Encourages students to work to capacity without undue pressure
  3. Exercises care for safety and health of students
  4. Organizes school routines
  5. Promotes student activities
  6. Counsels students as needed

- Staff Relationships

  1. Participates in the selection of personnel
  2. Recommends staff assignments
  3. Acts as first line grievance processor and contract administrator (Principal)
  4. Accepts and utilizes constructive suggestions by colleagues
  5. Utilizes professional channels in criticizing colleagues, recognizing that criticism should be in private, face-to-face discussions between the individuals involved
  6. Encourages and promotes opportunities for developing a professional understanding and mutual respect among staff members

SAMPLE ILLUSTRATION E
(continued)

7. Appraises the performance of staff as specified in Standards of Expected Staff Performances in Appraisal Handbook
8. Interprets and executes the intent of board policy
9. Understands his role contributing to and carrying out board policy
10. Shares total district responsibilities and responds when called upon to assume extra responsibilities
11. Promotes good will among individuals and groups
12. Develops good staff morale and loyalty to the organization
13. Respects individual characteristics, talents, and potentialities of each staff member
14. Acknowledges accomplishments of staff members
15. Acts as unfair labor practices agent

- Student Relationships (as it reasonably related to your position)

1. Respects personal worth of each student and every individual as a human being
2. Demonstrates fairness, firmness, and consistency in working with students
3. Seeks to understand student behavior through acceptable guidance techniques before making evaluative judgment
4. Respects confidences
5. Gains acceptance and respect of students
6. Strives to improve staff-student relations

- Community and Inter-Agency Relations

1. Establishes and monitors an effective Advisory Committee
2. Represents and supports the district in conversation with the public
3. Establishes good working relations with parents
4. Seeks suitable opportunities to familiarize laymen with the educational program
5. Demonstrates interest in community affairs
6. Gains respect and support of the community on the conduct of the school/department operation
7. Solicits opinions of all groups and individuals and gives attention to problems
8. Achieves status as a community leader in public education
9. Understands and keeps the community informed regarding all aspects of the instructional program
10. Understands the aspirations of parents and endeavors to reconcile those aspirations with the potentialities of their children
11. Works cooperatively with Parent-Teacher Associations and similar groups
12. Understands the needs of the community and attempts to meet those needs
13. Maintains an effective and continuous community education program about the school district
14. Seeks and considers input from the school community
15. Institutes and conducts parent conferences (as appropriate)
16. Participates in civic organizations
17. Cooperates with public and private community agencies

SAMPLE ILLUSTRATION E
(continued)

- Professional Commitment

1. Keeps abreast of educational trends and developments and continuously improves in curriculum competence
2. Improves administrative skills and techniques
3. Maintains a plan for self-renewal
4. Demonstrates interest and enthusiasm about assignment
5. Respects the ethics of the profession; is professionally loyal to district personnel
6. Supports group decisions even though such conclusions may be contrary to personal opinion
7. Maintains high standards of ethics, honesty, and integrity in all personal professional matters

- Personal Qualifications

1. Demonstrates fitness to perform professional responsibilities assigned
2. Shows mature, consistent judgment
3. Models moderation in appearance, grooming and dress
4. Devotes time and energy effectively to accomplish his job
5. Maintains emotional stability in the full range of his professional activities
6. Respects the work of every individual as a human being

ESTABLISHING INDIVIDUAL OBJECTIVES

Individual objectives are established by each administrator each year. The administrator will submit objectives to his immediate supervisor. This provides the individual with the opportunity to support the improvement process. Individual objectives established and reviewed on a yearly basis, fall into the following categories:

- Education Planning
- Budgeting
- Facilities
- Leadership
- Staff Relationships
- Community and Inter-Agency Relations
- Professional Commitment
- Organization and Control
- Student Relations

SUMMARY REPORT

The formal performance appraisal of each administrator will take place twice a year, the first completed by January 30 and the second no later than June 1. Objectives will be written to conclude that portion of activity on May 1 for evaluation. All appraisals will include the following:

1. Positive statement on accomplishments
2. Recommended areas requiring improvements clearly specified
3. Recommended procedures, activities, and/or methods for improvements specified

ADMINISTRATORS STANDARDS OF PERFORMANCE
(other than specific objectives)

AREA II

1. Educational Planning _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

2. Budgeting _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

3. Facilities _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

4. Organization and Control _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

5. Leadership _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

6. Staff Relationships _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

7. Community Relationships _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

8. Professional Commitment _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

9. Student Relations _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

SAMPLE ILLUSTRATION F

ROLE EXPECTATION OF TEACHERS

These standards parallel the job description.

Teachers are appraised by equating the quality of performance in relation to job expectancies. The quality of performance is based upon:

1. The degree to which the teacher meets the following expected standards of performance:

- Educational Planning

  . Selects appropriate skill and general performance expectancies for each student

  . Utilizes appropriate prediction information to forecast performance expectancies

  . Utilizes listed methods of alternatives

  . Monitors individual student attainment of forecasted learning expectancies

  . Implements the following diagnostic procedures as stated in objectives

    . Visual (observation, etc.)
    . Verbal (oral report, pupil-teacher conferences, etc.)
    . Written Norm Reference (standardized tests, for student evaluation only)
    . Written criterion reference

  . Prescribes teaching and learning alternatives that are correlated directly with identified skill needs

  . Organizes the classroom to best meet individual needs that have been identified

  . Records individual student progress

    . Individual written forms (teacher constructed forms, etc.)
    . Standardized written forms (district or purchased)

- Learning environment:

  . Provides a well-controlled democratic environment

  . Encourages students to work to capacity without undue pressure

  . Exercises care for safety and health of students

. Shows ability to organize school, classroom and learning center routine to insure a personalized learning environment

. Shows interest and takes an active part in the promotion of student activities

. Accepts responsibility for the guidance of students within sphere of competence

- Student Relationships:

. Uses positive and encouraging language in presence of students

. Shows respect for personal worth of each student and every individual as a human being

. Is fair, firm and consistent in working with students

. Seeks to understand pupil behavior through acceptable guidance techniques before making evaluative judgments

. Respects confidences

. Gains the acceptance and respect of the students

. Strives to improve staff-pupil relations

. Seeks to develop the students self concept and positive attitude toward school

. Uses positive reinforcement to develop academic and social behaviors

. Encourages creativity and individuality in each student

- Leadership

. Supports the existing educational philosophy

. Gives leadership in developing a sound and meaningful instructional program for students

. Involves students in the planning process to the degree of their maturity.

SAMPLE ILLUSTRATION G
(continued)

- Staff Relationship

  . Utilizes constructive suggestions by colleagues

  . Encourages and promotes opportunities for developing a professional understanding and mutual respect among staff members

  . Maintains a professional working relationship with other staff members

  . Executes the intent of board policy

  . Carries share of responsibilities willingly and readily responds when called upon to assume extra responsibilities

  . Promotes good will among individuals and groups

  . Develops good staff morale and loyalty to the organization

  . Knows and respects the individual characteristics, talents, and potentialities of each staff member

  . Acknowledges accomplishments of other staff members

- Community Relationships

  . Represents and supports the district or school in conversations with the public

  . Establishes good working relations with parents

  . Seeks suitable opportunities to familiarize laymen with the educational program

  . Participates in community affairs

  . Conducts parent-teacher and/or parent-student-teacher conferences in a helpful manner

  . Gains respect and support of the community on the conduct of the school operation

  . Assumes the responsibility of community leadership in public education

  . Understands the aspirations of parents and endeavors to reconcile those aspirations with the potentialities of their children

SAMPLE ILLUSTRATION G
(continued)

. Works cooperatively with Parent-Teacher Associations and Advisory Groups; follows through with commitments

. Understands the needs of the community and attempts to meet those needs; maintains an effective and continuous community education program about the school district

. Is a good listener and is aware of the opinions of laymen concerning education and considers their implications

- Organization

. Is prompt and accurate with reports

. Is punctual

. Carries out duty assignments promptly

. Meets office requests for information and completion of records and forms; generally functions punctually to fulfill obligations of school routine

. Accepts share of such assigned duties as yard supervision, and carries out these responsibilities conscientiously

- Professional Commitment

. Is adaptable and can accept new ideas

. Keeps abreast of educational trends and developments and continuously improves in curriculum competence

. Endeavors to improve in methods and techniques

. Improves self by attending workshops, graduate classes, professional meetings and conferences; keeps abreast of the professional literature

. Depicts interest and enthusiasm about assignment

. Is loyal and respects the ethics of the profession

. Supports group decisions even though such conclusions may be contrary to personal opinion

. Maintains high standards of ethics, honesty and integrity in all personal and professional matters

SAMPLE ILLUSTRATION G
(continued)

- Personal Qualifications

  . Is physically fit to perform professional responsibilities assigned

  . Shows mature, consistent judgment

  . Devotes time and energy effectively to position

  . Maintains emotional stability in the full range of professional activities

  . Respects the worth of every individual as a human being

SAMPLE ILLUSTRATION G
(continued)

Operations Notebook #14

ROLE OF APPRAISER AND APPRAISEE

The specific responsibilities of the appraiser and appraisee in the appraisal process should be delineated and written down. Too often the jobs of both parties to the evaluation process are taken for granted. Frequently we assume that each supervisor knows the entire process and what is needed regarding orientation, etc. Don't assume. Write down what is expected. If you want the appraiser to emphasize improvement, say so. If you want the supervisor to act as a "coach" or "mentor", say so. If you expect the evaluator to act as "judge", say so.

Strangely, it is also frequently assumed that the appraisee has little in the way of responsibilities toward the process other than showing up for the conference and reacting to the supervisor. There are definite obligations such as introspection or self assessment prior to the conference; being totally familiar with the entire process; reflecting on the status of any previously set objectives; anticipating new objectives; data gathering; etc.

Since the appraiser and appraisee are obviously the most important participants to the process, it makes sense to clarify and write down their respective responsibilities.

All above ideas are supported and illustrated in the Instructional Clinical Supervision Model (see Appendix B).

Operations Notebook #14

GOALS AND OBJECTIVES

Obviously there have been volumes written on this subject and it might seem impossible to reduce those tons of materials to a manageable size which could be included in a district guide for the appraisal process. However, consider these thoughts.

First of all, the tremendous variety and scope of all those schools of thought that produce ways to write instructional or behavioral objectives also produce such confusion in the minds of teachers and administrators. Would it not be helpful if a district could agree on some basics and print them so the staff could have a few underlying points on which to agree?

Consider:

- Definitions: Instructional objectives? Behavioral objectives? Performance improvement objectives:
- Suggested steps in establishing objectives
- Illustrations of how written objectives fit the particular instrument of the district
- Terminology -- to establish common usage
- Philosophy -- how sophisticated are the district's expectations?
- Illustrations of how objectives must be in concert with the goals of the district

The tremendous expository skill of teachers and administrators in this state surely can create a clearly written composite of the essence of "writing objectives" which will serve these same staff members in formulating their own objectives or job targets. A few very carefully written pages included in an appraisal handbook would be most helpful to any district employee but would be invaluable to the new employee. While the present legislation on evaluation is concerned with certificated

(all certificated), the fact is that the collective bargaining law includes the performance appraisal process as negotiable and this arena includes non-certificated. Logically, then, ideas suggested herein must be considered as apropos for classified evaluation programs.

TEACHER'S STANDARDS OF PERFORMANCE
(Other Than Specific Objectives)

1. EDUCATIONAL PLANNING _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

2. LEARNING ENVIRONMENT _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

3. STUDENT RELATIONSHIPS _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

4. LEADERSHIP _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

5. STAFF RELATIONSHIP _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

6. COMMUNITY RELATIONSHIPS _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

7. ORGANIZATION _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

8. PROFESSIONAL COMMITMENT _____ / 5 / 4 / 3 / 2 / 1 /
Excellent Needs Improvement

SAMPLE ILLUSTRATION H

MORE ON WRITING GOALS AND OBJECTIVES

In the hopes that repetition may be useful, we include here some additional information which we hope will be helpful as you approach the task of writing down goals and objectives.

GOALS ARE broad and timeless. They represent ideals which would be desirable for all members of the group (district or building or classroom or subgroup, etc.). Sentence structure is not important, although many begin goal statements with "to---." Ex: "To increase percentage gains in reading."

OBJECTIVES are outcomes.

1. They must contain two components:

   a. The population expected to achieve this outcome (if not all members of the specified population can be expected to achieve the outcome, a percentage should be indicated representing the expected "hit rate").
   b. What the population will know (awareness level) or understand (accomodation level) or be able to do (action level).

2. Objectives should always begin by naming the population (or client) whose behavior you are trying to change. Ex: "All 2nd grade pupils..." "Parents of EH pupils..." "Primary teachers..."

3. After naming the population (client), use a verb structure that will state (as simply as possible) the expected outcome. Ex: "(Primary teachers) will be able to demonstrate improved classroom management techniques."

   You may prefer to say "will demonstrate" instead of "will be able to demonstrate." Will demonstrate" infers that you will observe each teacher demonstrating, whereas "will be able to demonstrate" infers that you have satisfied yourself that each teacher has learned and could use these techniques (after whatever staff development activities you plan as delivery system) but you may observe only a sample of the teachers, instead of all of them, to determine whether the delivery system has been effective. When there are many objectives to be evaluated, the sampling technique is more realistic.

4. Whatever you state as the thing that the population (client) will do must be subject to measurement. Measurement may be by

   a. Written or oral test or test item
   b. Observation

GUIDELINES FOR WRITING GOALS AND PERFORMANCE OBJECTIVES

In the process of writing goals and objectives, it is necessary that the appraisee and appraiser utilize a common vocabulary. To this end, the following important appraisal terms are defined for the purpose of mutual understanding.

+ "Rationale" is a statement concerning the basis of the need for the goals and/or objectives. This usually includes information from pre-tests, surveys, observations, etc.

+ "Goals" are broad and timeless. They represent ideals for all members of the group (district or building or classroom of sub group, etc.). Sentence structure is not important, although many goal statements begin with "to..." and usually include terms such as "understand," "appreciate," "learn", etc.

+ "Performance Objectives" are specific statements concerning expected outcomes and are observable and measurable. They usually include the following:

  - "Population" - who is expected to accomplish the outcome. If not all members of the specified population can be expected to achieve the outcome, that segment should be specified.

  - "Outcome" - what will be accomplished including the desired behavior and the content or subject or program or organization or method.

  - "Measurement" - how you will know when the population has accomplished the expected outcome by such methods as: written or oral test items, observation, opinion, unobtrusive measures.

  - "Level of performance" - how well the population will be able to do the expected outcome. This may include statements such as: growth or an exact percentage or whatever is agreed upon at the goal-setting conference.

  - "Time limitations" - when the population might be expected to accomplish the expected outcome, such as by April 15, 198_, at the end of the unit, by the end of the 9th grade, etc.

  - "Specified conditions" - under what conditions would the outcome be expected to occur. This is sometimes covered in those performance objectives listed above but can state the specific unusual material, equipment, facilities, or costs needed to accomplish the outcome.

_____SCHOOL DISTRICT - SUPERINTENDENT'S GOALS & OBJECTIVES 1975-76

BASIC UNDERSTANDINGS

1.0 The Superintendent shall be held accountable by measurable objectives for achieving at least 75% of his objectives.
2.0 Goals and/or sub goals listed herein, that do not have objectives, are not considered within the direct control of the superintendent. However, they are mandated as goals and/or sub goals and must be focused upon and measured at an appropriate level.
3.0 Major goals are priority ranked.
4.0 Sub goals have equal weight and rank. It is expected that sub goals be processed at the same time rather than in series.
5.0 Goals and objectives of staff are to be directly related to Board Goals and Objectives.

DEFINITIONS

1.0 Community: person or groups outside of the school district staff.
2.0 Direct control; dependent on self only to achieve; no help from anyone else is necessary in order to achieve.
3.0 Divergent opinion: an opinion that is contrary to those speaking; usually in opposition to the speaker.
4.0 Loss of temper: visibly upset, angry, shouting response.
5.0 Major Board Policy Areas: Board, Personnel, Pupils, Instruction, Business, etc.
6.0 Monitor: review progress of.
7.0 Personal contact: face to face with person contacted.
8.0 Positive contacts: conferences held in superintendent's office for any reason that concludes with problem resolved and/or participants feeling satisfied with the outcome.
9.0 Stull Guidelines: a uniform system of evaluating certificated staff that covers job descriptions, evaluation procedures, student progress, proper control and suitable learning environment.
10.0 Systematic approach: needs assessment, goals, objectives, constraints, alternatives cost benefit, monitoring, evaluation, etc.

MAJOR GOAL

1.0 To improve the quality of education for children within the district.

SELF-RENEWAL

a. By _____, I will have met with at least one university representative to explore the possibility of entering into a doctoral program.
b. Through attendance at management conferences as participant or presentor, I will sharpen my own management abilities as measured by the Superintendent.
c. I will organize the present at least three programs on values and/or interpersonal relationships to groups in the community or to the school staff.

PUPIL PERSONNEL SERVICES

a. Students will perceive me as a strong, but fair, administrator; one who listens to their point of view and demonstrates a respect for it, as measured by an anonymous survey taken in the Leadership Class and the Principal's Advisory Committee.
b. The community will have an improved perception of high school counseling services, as measured by feedback from the PTA Board.
c. Student accountability for attendance in class will be improved as a result of administratively initiated systems.

MONITORING

a. The general housekeeping standards of the high school will be perceived by community and staff as being of high quality.
b. The high school MGM program will be a more visible and well structured program as a result of the efforts of _____ and the MGM teachers. I will meet with _____ and appropriate MGM teachers at least twice during the year to discuss program progress.

ADMINISTRATION

a. Serving for this year with the authority to select certificated personnel for recommendation of hiring, all teachers hired will be evaluated at the end of the year as having met District standards without qualification.
b. Schedule staff meetings with Board members and District personnel.

SAMPLE ILLUSTRATION E

SELF-EVALUATION OF TARGET ACCOMPLISHMENT

Evaluatee _____ Position _____

School _____ Evaluator _____

Year being evaluated _____ Reviewer _____

Directions: In Column I, list targets as selected by evaluatee and evaluator. In the self-evaluation column check the degree to which you feel the target was achieved. In the Comments space write a brief statement of the reasons for the estimates given in the self-evaluation column.

Performance Targets - Column I	Self-Evaluation 5	4	3	2	1

Evaluation Key: 5 represents highest degree of achievement. 1 indicates smallest amount of accomplishment of target

Comments

Signature of Evaluatee _____ Date _____

SAMPLE ILLUSTRATION N

EVALUATION FORM FOR ADMINISTRATIVE AND SUPERVISORY PERSONNEL

North East Independent School District
San Antonio, Texas

NAME _____ DATE _____

POSITION _____ SCHOOL OR DEPARTMENT _____

This form has been developed as part of a continuous improvement program for all administrators and supervisory personnel. It is intended that the use of it be a professional growth experience for all persons involved. Emphasis is to be placed upon self-evaluation on the part of each individual. The process will require the cooperation of all concerned.

Two columns are provided to the left of each number. Each individual is to complete a form on himself, using the column to the immediate left of the number. After the form has been completed it is to be forwarded to the individual's immediate supervisor. The immediate supervisor will then complete the second column on the individual. A conference will be held between the individual and his immediate supervisor in which the evaluations will be discussed. The completed form will be kept on file in the immediate supervisor's file. The immediate supervisor for Principals, Assistant Superintendents, and Administrative Assistants is the Superintendent. If an item does not appear to apply to an individual's position N/A should be entered in the space.

This information will be kept in strict confidence. Unauthorized persons will not have access to it.

EVALUATION TERMS

C - Commendable - Exceeds the standards of North East School District.

A - Acceptable - Meets the standards of North East School District.

I - Need improvement - Improvement is needed in order to meet the standards of North East School District.

U - Unsatisfactory - Fails to meet the standards of the District to a satisfactory degree.

N/A - Not applicable or insufficient knowledge on which to evaluate.

Personal Responsibilities

Immediate Supervisor	Self	To what extent?
___	___	1. Am I enthusiastic about my work?
___	___	2. Do I attempt to use ideas gleaned from professional magazines and bulletins?
___	___	3. Do I attend and contribute to professional meetings?
___	___	4. Do I accept constructive criticism profitably?
___	___	5. Do I accept administrative decisions and work enthusiastically toward achieving goals even though they may not conform to my personal opinions?

___ ___ 6. Do I give full consideration to majority and minority opinion?

___ ___ 7. Do I take advantage of opportunities for professional growth that are available beyond the requirements of the District?

___ ___ 8. Do I show the initiative required of a person in my position?

COMMENTS: *(space)*

Administrative and Professional Responsibilities

To what extent:

___ ___ 9. Do I effectively delegate authority for the betterment of the school program?

___ ___ 10. Do I organize my subordinates for maximum efficiency and effectiveness?

___ ___ 11. Do I assume the leadership for the over-all morale of the building or department?

___ ___ 12. Do I allow flexibility to guide my administration and relations with individuals, both teachers and students?

___ ___ 13. Do I interpret and enforce the school/District policy in my area of responsibility?

___ ___ 14. Do I help plan the staff's professional growth program and encourage participation in in-service education programs?

___ ___ 15. Do I count the activities of the classroom of primary importance to the school program?

___ ___ 16. Do I fulfill the responsibility for administering attendance policies in the school?

___ ___ 17. Do I fulfill the responsibility for the administration of the health and safety of students in the school?

___ ___ 18. Do I provide assistance toward helping teachers improve?

___ ___ 19. Am I receptive to new ideas?

___ ___ 20. Do I involve teachers in the decision-making process where appropriate?

___ ___ 21. Am I willing to make decisions which may be unpopular yet be best for the over-all program?

___ ___ 22. Are my reports and proposals to my supervisors accurate, complete, and objective--the type that can be relied upon?

___ ___ 23. Do I maintain adequate reports and records on students, and interpret them to the greatest extent of their value?

EVALUATION BY OBJECTIVES PROGRAM - TEACHERS
Self-Appraisal Worksheet

Teacher

Supervisor

Date

	not a target at this time	target requested
AREA: DIAGNOSING		
STANDARD 1: The competent teacher establishes procedures for gathering data by:		
INDICATORS:		
a. completing the diagnosis for each student;		
b. using diagnostic tools which are pertinent to the teacher's goals;		
c. using a variety of diagnostic instruments and techniques;		
d. requesting assistance from others when needed for more comprehensive diagnosis		
STANDARD 2: The competent teacher interprets diagnostic data to identify the needs and concerns of both the individual and the group by:		
INDICATORS:		
a. identifying the achievement level for each student;		
b. explaining the significance of the achievement level diagnosed.		
AREA: PRESCRIBING		
STANDARD 3: The competent teacher utilized diagnostic data to establish instructional objectives & relates these to individual needs by:		
INDICATORS:		
a. writing instructional objectives;		
b. preparing objectives that show the data gathered in diagnosis is utilized;		
c. preparing objectives in terms of student performance;		
d. preparing objectives which are measurable;		
e. preparing both short and long-term objectives for any assigned class.		
STANDARD 4: The competent teacher plans lessons to meet individual and group needs by:		
INDICATORS:		
a. planning lessons that are consistent with the objectives;		
b. planning lessons that include appropriate activities which meet individual and group needs;		
c. planning to utilize appropriate resource materials related to instructional objectives;		
d. planning alternatives to meet the needs of individual students;		
e. accepting and using student feedback in planning instruction.		

SAMPLE ILLUSTRATION O

AREA: FACILITATING

STANDARD 5: The competent teacher utilizes knowledge of subject matter by:

INDICATORS:

a. using words and content appropriate to the subject area and the student's abilities
b. using available media effectively and efficiently;
c. requesting and using materials and facilities based on instructional objectives;
d. knowing and utilizing community agencies, groups and individuals to further the educational program.

STANDARD 6: The competent teacher used effective classroom management techniques by:

INDICATORS:

a. showing respect for students;
b. providing an atmosphere in which students remain at task;
c. exhibiting consistency when dealing with behavior problems;
d. exhibiting positive verbal and non-verbal influence on students

STANDARD 7: The competent teacher applies learning theory by:

INDICATORS:

a. utilizing and building upon student's interests and prior knowledge
b. providing feedback as students progress toward goals;
c. allowing for a balance between intake of information and the expression of student ideas;
d. providing the individual with activities to develop attitudes, appreciations and values.

STANDARD 8: The competent teacher uses a variety of instructional techniques appropriate to students' needs by:

INDICATORS:

a. giving directions in a clear, concise manner;
b. phrasing questions so students may respond appropriate;
c. using strategies which involve students in higher levels of thinking;
d. pacing the activities within a lesson according to the needs of students.

Complete in duplicate: original - teacher, copy - supervisor

SAMPLE ILLUSTRATION O (continued)

SAMPLE (ILLUSTRATIVE)

EVALUATION BY OBJECTIVES PROGRAM - TEACHERS
Supervisor's Appraisal Worksheet

Teacher _____

Supervisor _____

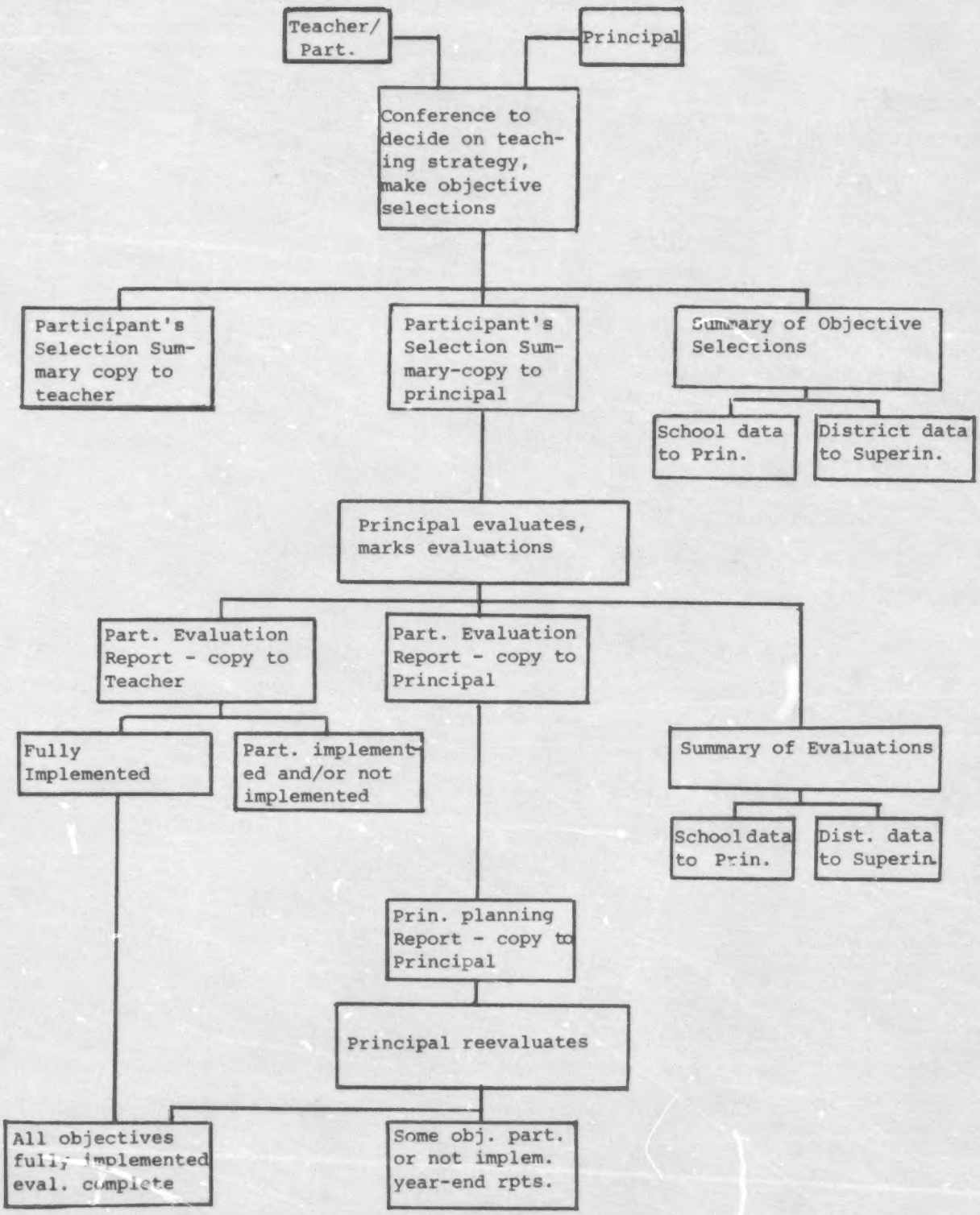
Date _____

	Meets or exceeds acceptable level of performance	Collecting data	Target suggested
AREA: DIAGNOSING			
STANDARD 1: The competent teacher establishes procedures for gathering data by:			
INDICATORS:			
a. completing the diagnosis for each student;			
b. using diagnostic tools which are pertinent to the teacher's goals;			
c. using a variety of diagnostic instruments and techniques;			
d. requesting assistance from others when needed for more comprehensive diagnosis.			
STANDARD 2: The competent teacher interprets diagnostic data to identify the needs and concerns of both the individual and the group by:			
INDICATORS:			
a. identifying the achievement level for each student;			
b. explaining the significance of the achievement level diagnosed.			
AREA: PRESCRIBING			
STANDARD 3: The competent teacher utilizes diagnostic data to establish instructional objectives and relates these to individual needs by:			
INDICATORS:			
a. writing instructional objectives;			
b. preparing objectives that show the data gathered in diagnosis is utilized;			
c. preparing objectives in terms of student performance;			
d. preparing objectives which are measurable;			
e. preparing both short and long-term objectives for any assigned class.			
STANDARD 4: The competent teacher plans lessons to meet individual and group needs by:			
INDICATORS:			
a. planning lessons that are consistent with the objectives;			
b. planning lessons that include appropriate activities which meet individual and group needs;			
c. planning to utilize appropriate resource materials related to instructional objectives;			
d. planning alternatives to meet the needs of individual students;			
e. accepting and using student feedback in planning instruction.			
AREA: FACILITATING			
STANDARD 5: The competent teacher utilizes knowledge of subject matter by:			
INDICATORS:			
a. using words and content appropriate to the subject area and student's abilities;			
b. using available media effectively and efficiently;			
c. requesting and using materials and facilities based on instructional objectives;			
d. knowing and utilizing community agencies, groups and individuals to further the educational program.			
STANDARD 6: The competent teacher uses effective classroom management techniques by:			
INDICATORS:			
a. showing respect for students;			
b. providing an atmosphere in which students remain at task;			
c. exhibiting consistency when dealing with behavior problems;			
d. exhibiting positive verbal and non-verbal influence on students.			
STANDARD 7: The competent teacher applies learning theory by:			
INDICATORS:			
a. utilizing and building upon student's interests and prior knowledge;			
b. providing feedback as students progress toward goals;			
c. allowing for a balance between intake of information and the expression of student ideas;			
d. providing the individual with activities to develop attitudes, appreciations and values.			
STANDARD 8: The competent teacher uses a variety of instructional techniques appropriate to students' needs by:			
INDICATORS:			
a. giving directions in a clear, concise manner;			
b. phrasing questions so students may respond appropriately;			
c. using strategies which involve students in higher levels of thinking;			
d. pacing the activities within a lesson according to the needs of students.			

Complete in duplicate: original supervisor, copy teacher

A P P R A I S A L

THE PATS PROCESS


Teacher/ Part.
Principal
Conference to decide on teaching strategy, make objective selections
Participant's Selection Summary copy to teacher
Participant's Selection Summary-copy to principal
Summary of Objective Selections
School data to Prin.
District data to Superin.
Principal evaluates, marks evaluations
Part. Evaluation Report - copy to Teacher
Part. Evaluation Report - copy to Principal
Fully Implemented
Part. implemented and/or not implemented
Summary of Evaluations
School data to Prin.
Dist. data to Superin.
Prin. planning Report - copy to Principal
Principal reevaluates
All objectives fully implemented eval. complete
Some obj. part. or not implem. year-end rpts.

APPEAL PROCESS

No attempt is made here to delineate all the details in the design of an appeal process. It is a complex task requiring meticulous attention to details and implications. What is suggested here is that the need exists to include in an appraisal handbook a precise treatment of the "appeal process."

There are several dimensions of this task to consider. What is the process meant to do? Do most differences occur at the time objectives are set or do they occur when the status of objectives is evaluated? Should the process help to adjudicate honest differences of professional opinion regarding the appropriateness of objectives? Is the appeal process a prelude to dismissal proceedings or does it serve a different function? How serious must the situation be to invoke the appeal process? If it is for the most serious cases, should there be an interim process? Who serves in the role of adjudicator -- whom do you designate for handling certain areas of responsibility? Do you develop an appeals "board" composed of peers? What are the ground rules?

These are just a few of the questions which must be answered. Again, the development of a complete program would suggest the inclusion of a clearly defined and written appeal process.

- Step II - APPEAL PROCESS

The Appeal Process is provided to assist in resolving serious disagreements arising from the appraisal process. In this case, a serious disagreement is defined as one which was not resolved during the review process and which may lead to a recommendation by the appraiser for dismissal of the appraisee. In such a case, at the request of the appraisee, an Appeal Board of three members will be convened to assist in making a final recommendation regarding the disagreement. Notification of possible dismissal should be made by January 25 by the appraiser. The request for an Appeal Board must be received within 7 days after notification. The following will be the procedure:

A. Within 5 days of the request for hearing under this process, each party will name one person to be his representative. The representatives shall be tenured, certificated employees with at least 3 years experience in the major area of responsibility of the Appraisee. The major area of responsibility shall be defined as: Elementary K-3, 4-6, Secondary department.

B. Within 3 days after the selection and notification of representatives, the third member shall be chosen from a list of 5 names of members of the certificated staff by the two representatives. These names shall be selected from a list determined by the professional organizations and the administration at the beginning of each school year. If there is not mutual agreement on any name on the list, the representatives will take turns striking names from the list until one name is left. The matter of who goes first will be determined by the flip of a coin. This name will be the chairman of the committee.

C. The Appeal Board shall decide on the time and the place for the hearing within 5 days of selecting a chairman. The hearing will be private, informal, and orderly. Only those directly concerned will be present at any time.

D. The Appeal Board shall not consider any matter outside the scope of the Appraisal Process. In addition, the Appeal Board shall confine itself to the precise issue submitted and shall have no authority to make a recommendation on any other issue.

E. After the close of the hearing, the Appeal Board shall submit in writing to all parties its findings and recommendation.

F. In the event that either party is not satisfied with the decision, he may appeal it in writing within 5 days to the Superintendent.

G. The Superintendent has the final determination in the disposition of the Appeal Board's recommendations.

THE APPRAISAL INSTRUMENT

Very often when organizations begin the process of developing or redesigning a performance evaluation system they begin with the instrument. This is unfortunate. The instrument is really the HOW part of the process and should be the last item to receive attention. The instrument or forms used in the appraisal process should reflect the philosophy and objectives of the program and not the other way around. The instrument must be carefully designed to protect the integrity of the appraisal program. Assume that you are interested in progress and you have adopted the idea of setting job targets as your operational mode. Chances are that you will not want to include a check off, rating type approach to evaluate such personal characteristics as dress, health, punctuality, etc. Check for compatibility between what you want the instrument to do and what it might force those who use it to "really" do.

One serious consideration is to keep the forms simple, easy to use, and open-ended. Avoid a series of small boxes in which is it impossible to write.

An adjunct to the instrument generated by one district in its new program is an up-to-date modification of an older idea. This modification has resulted in what is called a "Diagnostic Profile." For certificated personnel the basis for the profile is the material included in the Role Expectations. The idea is to select statements from the several areas of responsibility and create a distillation of the Role Expectation. This series of statements is arranged so it can be "rated" on a scale consisting of several points ranging from SATISFACTORY to NEEDS IMPROVEMENT. Now at first glance this would appear to be diametrically opposite to the concept of MBO as expressed elsewhere in this paper. However, the answer lies in

its use. The Diagnostic Profile is used to identify areas of competency that need to be improved, hence the use of the word diagnostic. Further, and vital to the program, the entire profile is destroyed after the appraiser and appraisee use it. It is a tool, not a record! The two parties to the appraisal process are the only ones who see it. When an area(s) is identified it leads to dialogue which in turn leads to written objectives or targets. These objectives are written on the open-ended instrument.

DIAGNOSTIC PROFILE – SECRETARIAL

UNIFIED SCHOOL DISTRICT
California

Secretary to Superintendent
Secretary I, II, III, IV
Elementary School Secretary

See instructions on reverse side of this form.

Name _____ Location _____ Period: From _____ To _____ Date Completed _____

DIRECTIONS: Mark appropriate spot to indicate present performance. Draw connecting line for profile.

1. Knowledgeable concerning school/office procedures. Helps staff and public understand.		Lacks working knowledge of procedures. Does not attempt to help staff/public understand public schools procedures and limitations.
2. Self-starter. Completes tasks without specific supervision. Can handle complex material.		Needs specific directions for each task. Needs reminding. Handles complex material with difficulty.
3. Work (i.e. typing) is neat, accurate and on schedule. Work areas organized.		Work (i.e. typing) is often careless and inaccurate. Occasionally late. Work areas disorganized.
4. Anticipates school/office needs for supplies and/or equipment. Keeps accurate inventory.		Runs out of supplies and is often late in ordering. Can't maintain inventory.
5. Professional demeanor in the office. Friendly, professional manner on the telephone. Serves as model.		Voice or manner in office or on telephone does not leave a favorable impression. Lacks tact. Does not create a positive image.
6. Assigns work, utilizing others' time to best advantage. Gives clear, concise directions. Plans work schedule. Distributes work load equitably.		Assigns work inequitably causing disharmony. Unaware of time limitations. Gives incomplete instructions.
7. Is prompt requesting and processing records of employees/students.		Slow in requesting and processing records.
8. Maintains secretarial skills at high level. Works on self-improvement.		Allows some secretarial skill(s) to slip. (Specify: _____)
9. Makes appointments, arranges meetings and schedules efficiently.		Arranges meetings and makes appointments and schedules with difficulty.
10. Works effectively and cooperatively with other personnel at all levels.		Considered uncooperative and/or impatient with others which hinders effectiveness.
11. Shows adequate skill in written and/or oral communication. Develops clear, concise and effective reports when needed. Correctly interprets communication from others. Listens.		Unaware of the implications of poor communications. Does not listen. Careless or inaccurate in some oral or written communications.
12. Performs such other duties or tasks as may be assigned willingly and with dispatch.		Finds it hard to assume such tasks which may be occasionally assigned and complains or shows annoyance.

*NOTE: Personal qualities or characteristics must be discussed when performance is adversely affected. Objectives are written to improve a situation arising in this area. Refer to special section in the Appraisal Handbook.

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SAMPLE - ILLUSTRATION R

INSTRUCTIONS: This profile is a "working" diagnostic tool. It should reflect the present level of performance. Both parties should have prepared pencil copies. Working together, a common copy is completed. This is used to point up areas in which to write objectives. This profile may then be discarded (Exception: probationary employee).

Using the official job description for the specific position as well as the material in this profile and after adequate consultation with the appraisee, the appraiser marks an appropriate spot on the chart which best identifies his/her estimate of appraisee's performance in each area. Cross out inappropriate words. If a section does not apply, write DNA next to item.

The profile is designed to assist in identifying specific areas which need improvement. For each such area, the appraiser helps the appraisee write an objective (use special forms). Remember – everyone can develop "growth" objectives. Emphasis is on improvement. READ THE HANDBOOK.

PERFORMANCE APPRAISAL

Name_____ Position_____ Location_____

Period Covered: From _____ To _____ Date Completed _____

OBJECTIVES

Objectives What do you expect to achieve?	--	Delivery System How do you expect to do it? (Activity, process, materials, etc.)	Expected Date of Completion	Evidence of Achievement

Use additional forms as needed. Attach.

APPRAISAL COMMENTS AND SUMMARY

APPRAISER'S COMMENTS:

In addition to any running comments you might wish to write alongside the objectives on these forms, please make additional remarks in the space below. It is necessary to indicate in narrative form your OVERALL appraisal of the performance of the appraisee. Be sure to differentiate between corrective and developmental objectives when evaluating the status of objectives. Commendations and/or recommendations should be included here.

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APPRAISEE'S COMMENTS: (OPTIONAL) Appraisee may wish to write comments below or attach remarks.

APPRAISER'S RECOMMENDATION

The appraisee _____
should/should not be retained in present position.

_____ _____
Appraiser's Signature Date

_____
Signature of Appraisee

NOTE: Your signature does not necessarily mean agreement with the evaluation, but signifies that you have read it and received a copy.

Form AI-1

STANDARDS OF EXPECTED STUDENT ACHIEVEMENT

The Education Code 44662 requires that a board of education establish specified standards of student achievement and furthermore, stipulates that employee competency be evaluated and assessed as it reasonably relates to said specified student progress.

It follows that once a school district has gone to the considerable expenditure in time and effort to develop such standards of achievement, the end results should be published in concise terms in the appraisal handbook. Especially pertinent to teachers and administrators is the interpretation and implications of the stipulation that "their competency be evaluated as it reasonably relates to student progress."

The task group believes that Dr. James Popham has perhaps most successfully pointed out the considerations which must be faced in attempting to assess expected student achievement. His treatment of this particular problem identified in the original Stull Bill requirements is still valid. The phrase "progress of students towards established standards" still implies as Popham said originally, "a before-after conception of student performance and, thus, is probably equivalent to the notion of learning growth assessed by the use of a pretest-posttest procedure." It does not indicate just "minimum" standards. Those districts most successful have developed their standards into support systems for supporting and monitoring student achievement.

Following this line of thought directs us to suggest that progress will have to be assessed by several modes over a period of time. These modes will include but are not limited to teacher-made tests, department tests, product performance output including professional observation and judgment, functional adequacy, enumeration, time requirements, pre-post

records, students' self evaluation records, and additional criteria of growth such as student/parent responses, interviews, surveys clinical supervision, Flanders Analysis, etc.

STUDENT _____ READINESS VISUAL SKILLS FORM MATHEMATICS

KEY: ☒ Competency ▨ Instruction ☐ Introduction

K - pink 3 - green 5 - brown
1 - blue 4 - purple 6 - orange
2 - red

	K	1	2	3	4	5	6
NUMERATION							
Counts (orally)							
0 - 25	☐						
26 - 100		☐					
by 2's to 20		☐					
by 2's to 100			☐				
by 5's to 100			☐				
by 10's to 100		☐					
Counts objects							
1 - 10	☐						
11 - 25		☐					
Recognizes sets							
0 - 10	☐						
Reads numerals							
0 - 10	☐						
11 - 100		☐					
101 - 1,000			☐				
1,001 - 999,999				☐			
Reads number words							
one to ten		☐					
eleven to twenty			☐				
ordinal numerals first to tenth			☐				
Roman numerals I V X				☐			
Writes numerals							
0 - 10	☐						
11 - 20		☐					

	K	1	2	3	4	5	6
Writes numerals							
21 - 200			☐				
201 - 1,000				☐			
Recognizes comparisons (greater than-less than)							
0 - 10	☐						
11 - 100		☐					
101 - 1,000			☐				
1,001 - 999,999				☐			
Identifies odd-even			☐				
Identifies equal-not equal				☐			
Recognizes symbols							
+, -, =		☐					
x, ÷, ≠				☐			
Sequencing							
complete +, - patterns			☐				
completes x patterns				☐			
Identifies place value							
2 place		☐					
3 place			☐				
4, 5 place				☐			
ADDITION							
Writes sums to							
10		☐					
18			☐				
Finds missing factors							
sums to 18			☐				

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_____SCHOOL PLAN LEVELS _____

INSTRUCTIONAL/SUPPORT COMPONENT:_____

PROGRAM YEAR 19____ - 19____

ASSESSMENT OF NEED

EXISTING CONDITION	GOAL OR DESIRED CONDITION	DISCREPANCY AND ANALYSIS

SCHOOL PLAN LEVELS

INSTRUCTIONAL/SUPPORT COMPONENT: _____

PROGRAM YEAR 19____ - 19____

DISTRICT GOAL NO. _____

_____OBJECTIVE

ACTIVITIES	TARGET DATE	PERSON RESPONSIBLE	EVALUATION

DISMISSAL PROCEEDINGS (See Appendix C)

This is a matter of personal preference. Many in the field object to including the process of the dismissal proceeding in the written material of the appraisal program because it combats the positive image the creators of the evaluation program are trying to project, i.e. Improve not Prove!

However, others state that realistically dismissal can be an outgrowth of evaluation, therefore, the plan should include the dates and steps of dismissal proceedings. This task force recommends that all districts state dismissal proceedings as an integral part of the appraisal process and that the dates and steps of dismissal proceedings be included in some written format which is available to each employee.

Be reminded that the Stull Act includes some definitive requirements and these should be included in your own publication. Existing statutes prescribe the manner of conducting administrative proceedings regarding dismissal for cause of certificated employees. Stull Act revisions require that the requested hearings be initiated pursuant to the Administrative Procedure Act; require consultation with the employee and governing board prior to establishing a hearing date; changes the deadline for completion of discovery from one week before a set hearing date to seven calendar days; sets requirements for extensions of time for continuances; requires all hearings to be conducted by the Commission on Professional Competence and would deem its decisions to be the final decision of the governing board; requires appointees to hold a valid credential with valid experience within the last ten years and to be in the discipline rather than specific educational function of the employee, etc. The Act must be carefully dissected and put into a format more easily read and understood. (See Appendix A & B)

Most dismissal activities are "lost" because of "due process" or "civil right" violation by the district or its representatives.

All dismissal activities should be undertaken with concurrent advice and direction from the county counsel and/or the districts own legal counsel. This advice and counsel should be sought prior to any formal actions by the district against any of its employees, certificated or non-certificated.

THE STULL ACT*

The people of the State of California do enact as follows:

Grounds for dismissal of permanent employee.

44932. No permanent employee shall be dismissed except for one or more of the following causes:

(a) Immoral or unprofessional conduct.
(b) Commission, aiding, or advocating the commission of acts of criminal syndicalism, as prohibited by Chapter 188, Statutes of 1919, or in any amendment thereof.
(c) Dishonesty.
(d) Incompetency.
(e) Evident unfitness for service.
(f) Physical or mental condition unfitting him to instruct or associate with children.
(g) Persistent violation of or refusal to obey the school laws of the state or reasonable regulations prescribed for the government of the public schools by the State Board of Education or by the governing board of the school district employing him.
(h) Conviction of a felony or of any crime involving moral turpitude.
(i) Violation of Section 51530 of this code or conduct specified in Section 1028 of the Government Code, added by Chapter 1418 of the Statutes of 1947.
(j) Violation of any provision in Sections 7001 to 7007, inclusive, of this code.
(k) Knowing membership by the employee in the Communist Party.

Charges and notice of intention to discharge employee.

44934. Upon the filing of written charges, duly signed and verified by the person filing them, with the governing board of the school district, or upon a written statement of charges formulated by the governing board, charging that there exists cause for the dismissal of a permanent employee of the district, the governing board may, upon majority vote, except as provided in this article if it deems the action necessary, give notice to the permanent employee of its intention to dismiss him at the expiration of 30 days from the date of service of the notice, unless the employee demands a hearing as provided in this article.

Any written statement of charges of unprofessional conduct or incompetency shall specify instances of behavior and the acts or omissions constituting the charge so that the teacher will be able to prepare his defense. It shall, where applicable, state the statutes and rules which the teacher is alleged to have violated, but it shall also set forth the facts relevant to each occasion of alleged unprofessional conduct or incompetency.

*(Chapter 361--AB 293; 1971) (Chapter 1212--SB 777; 1975)

Teacher's right to comment on fitness report by statewide professional organization; restricted distribution.

44935. No report on the fitness of a teacher in a dismissal proceeding shall be received from a statewide professional organization by a governing board unless the teacher shall have been given, prior to the preparation of the report in its final form, the opportunity to submit in writing his or her comments on the report and unless a copy of the report in final form is given to the teacher investigated at least 10 days prior to its submission to the board.

Such a report shall not be distributed other than to the governing board and those persons participating in its preparation, unless the teacher does not demand a hearing as provided by Section 44937.

Notice; service; attachment of charges and provisions of article.

44936. The notice shall not be given between May 15th and September 15th in any year. It shall be in writing and be served upon the employee personally or by United States registered mail addressed to him at his last known address. A copy of the charges filed, containing the information required by Section 11503 of the Government Code, together with a copy of the provisions of this article, shall be attached to the notice.

Waiver of hearing by permanent employee.

44937. If the employee does not demand a hearing by filing a written request for hearing with the governing board, he may be dismissed at the expiration of the 30-day period.

Action on charges; prior notice to permanent employee.

44938. The governing board of any school district shall not act upon any charges of unprofessional conduct or incompetency unless during the preceding term or half school year prior to the date of the filing of the charge, and at least 90 days prior to the date of the filing, the board or its authorized representative has given the employee against whom the charge is filed, written notice of the unprofessional conduct or incompetency, specifying the nature thereof with such specific instances of behavior and with such particularity as to furnish the employee an opportunity to correct his faults and overcome the grounds for such charge. The written notice shall include the evaluation made pursuant to Article 5.5 (commencing with Section 44660) of Chapter 3, if applicable to the employee. "Unprofessional conduct" and "incompetency" as used in this section means, and refers only to, the unprofessional conduct and incompetency particularly specified as a cause for dismissal in Section 44932 and 44933 and does not include any other cause for dismissal specified in Section 44932.

Immediate suspension of permanent employee; hearing upon certain charges.

44939. Upon the filing of written charges, duly signed and verified by the person filing them with the governing board of a school district, or upon a written statement of charges formulated by the governing board, charging a permanent employee of the district with immoral conduct, conviction of a felony or of any crime involving moral turpitude, with incompetency due to mental disability, with willful refusal to perform regular assignments without

reasonable cause, as prescribed by reasonable rules and regulations of the employing school district, with violation of Section 51530, with knowing membership by the employee in the Communist Party or with violation of any provision in Sections 7001 to 7007, inclusive, the governing board may, if it deems such action necessary, immediately suspend the employee from his duties and give notice to him of his suspension, and that 30 days after service of the notice, he will be dismissed, unless he demands a hearing.

If the permanent employee is suspended upon charges of knowing membership by the employee in the Communist Party or for any violation of Sections 51530, 7001, 7002, 7003, 7006, 7007, he may within 10 days after service upon him of notice of such suspension file with the governing board a verified denial, in writing, of the charges. In such event, the permanent employee who demands a hearing within the 30-day period shall continue to be paid his regular salary during the period of suspension and until the entry of the decision of the Commission on Professional Competence, if and during such time as he furnishes to the school district a suitable bond, or other security acceptable to the governing board, as a guarantee that the employee will repay to the school district the amount of salary so paid to him during the period of suspension in case the decision of the Commission on Profesional Competence is that he shall be dismissed. If it is determined that the employee may not be dismissed, the school district shall reimburse the employee for the cost of the bond.

Compulsory leave of absence on charge of sex offenses and narcotics offenses; effect on salary of acquittal.

44940. Whenever any certificated employee of a school district is charged with the commission of any sex offense as defined in Section 44010 by complaint, information or indictment filed in a court of competent jurisdiction, the governing board of the school district shall immediately place the employee upon compulsory leave of absence for a period of time extending for not more than 10 days after the date of the entry of the judgment in the proceedings. The governing board of the school district may extend the compulsory leave of absence of the employee beyond such period by giving notice to the employee within 10 days after the entry of judgment in the proceedings that the employee will be dismissed at the expiration of 30 days from the date of service of the notice, unless the employee demands a hearing as provided in this article.

Any employee placed upon compulsory leave of absence pursuant to this section shall continue to be paid his regular salary during the period of his compulsory leave of absence if and during such time as he furnishes to the school district a suitable bond, or other security acceptable to the governing board, as a guarantee that the employee will repay to the school district the amount of salary so paid to him during the period of the compulsory leave of absence in case the employee is convicted of such charges, or fails or refuses to return to service following an acquittal of the offense or dismissal of the charges. If the employee is acquitted of the offense, or the charges against him are dismissed, the school district shall reimburse the employee for the cost of the bond upon his return to service in the school district.

If the employee does not elect to furnish bond, or other security acceptable to the governing board of the district, and if the employee is acquitted of the offense, or the charges against him are dismissed, the school district shall pay to the employee his full compensation for the period of the compulsory leave of absence upon his return to service in the school district.

Whenever any certificated employee of a school district is charged with the commission of any narcotics offense as defined in Section 44011 or a violation of subdivision 1 of Section 261 of the Penal Code, Sections 11530 to 11532, inclusive, 11540, or 11910 to 11915, inclusive, insofar as such sections relate to subdivision (c) of Section 11901, of the Health and Safety Code, by complaint, information, or indictment filed in a court of competent jurisdiction, the governing board of the school may immediately place the employee upon compulsory leave in accordance with the procedure in this section.

Notice of suspension and intention to dismiss; service; attachment of charges and provisions of article; failure to demand hearing; dismissal.

44941. The notice of suspension and intention to dismiss, shall be in writing and be served upon the employee personally or by United States registered mail addressed to the employee at his last known address. A copy of the charges filed, containing the information required by Section 11530 of the Government Code, together with a copy of the provisions of this article, shall be attached to the notice. If the employee does not demand a hearing within the 30-day period, he may be dismissed upon the expiration of 30 days after service of the notice.

Action of governing board after demand for hearing.

44943. When any employee who has been served with notice of the governing board's intention to dismiss him demands a hearing, the governing board shall have the option either (a) to rescind its action, or (b) schedule a hearing on the matter.

Conduct of hearing; decision.

44944. (a) In the event a hearing is requested by the employee, the hearing shall be commenced within 60 days from the date of the employee's demand for a hearing. The hearing shall be initiated, conducted, and a decision made in accordance with Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2 of the Government Code, provided, however, that the hearing date shall be established after consultation with the employee and the governing board, or their representatives, and the Commission on Professional Competence shall have all the power granted to an agency therein, except that the right of discovery of the parties shall not be limited to those matters set forth in Section 11507.6 of the Government Code but shall include the rights and duties of any party in a civil action brought in a superior court. In all cases, discovery shall be completed prior to seven calendar days before the date upon which the hearing commences. If any continuance is granted pursuant to Section 11524 of the Government Code, the time limitation for commencement of the hearing as provided in this subdivision shall be extended for a period of time equal to such continuance; provided, however, that such extension shall not include that period of time attributable to an unlawful refusal by either party to allow the discovery provided for in this section.

If the right of discovery granted under the preceding paragraph is denied by either the employee or the governing board, all the remedies in Section 2034 of the Code of Civil Procedure shall be available to the party seeking discovery and the court of proper jurisdiction, to entertain his motion, shall be the superior court of the county in which the hearing will be held.

The time periods in this section and of Chapter 5 (commencing with Section 11500 of Part 1 of Division 3 of Title 2 of the Government Code and of Article 3 (commencing with Section 2016) of Chapter 3 of Title 3 of Part 4 of the Code of Civil Procedure shall not be applied so as to deny discovery in a hearing conducted pursuant to this section.

The superior court of the county in which the hearing will be held may, upon motion of the party seeking discovery, suspend the hearing so as to comply with the requirement of the preceding paragraph.

No witness shall be permitted to testify at the hearing except upon oath or affirmation. No testimony shall be given or evidence introduced relating to matters which occurred more than four years prior to the date of the filing of the notice. Evidence of records regularly kept by the governing board concerning the employee may be introduced, but no decision relating to the dismissal or suspension of any employee shall be made based on charges or evidence of any nature relating to matters occurring more than four years prior to the filing of the notice.

(b) The hearing provided for in this section shall be conducted by a Commission on Professional Competence. One member of the commission shall be selected by the employee, one member shall be selected by the governing board, and one member shall be a hearing officer of the State Office of Administrative Procedure who shall be chairman and a voting member of the commission and shall be responsible for assuring that the legal rights of the parties are protected at the hearing. If either the governing board or the employee for any reason fails to select a commission member at least seven calendar days prior to the date of the hearing, such failure shall constitute a waiver of the right to selection, and the county board of education or its specific designee shall immediately make the selection. When the county board of education is also the governing board of the school district or has by statute been granted the powers of a governing board, the selection shall be made by the Superintendent of Public Instruction, who shall be reimbursed by the school district for all costs incident to the selection.

The member selected by the governing board and the member selected by the employee shall not be related to the employee and shall not be employees of the district initiating the dismissal and shall hold a currently valid credential and have at least five years' experience within the past 10 years in the discipline of the employee.

(c) The decision of the Commission on Professional Competence shall be made by a majority vote and the commission shall prepare a written decision containing findings of fact, determinations of issues and a disposition either:

(1) That the employee should be dismissed.
(2) That the employee should not be dismissed.

The commission shall not have power to dispose of the charge of dismissal by imposing probation, suspension of a dismissal or a nondismissal, or other alternative sanctions.

The decision of the Commission on Professional Competence shall be deemed to be the final decision of the governing board.

The board may adopt from time to time such rules and procedures not inconsistent with provisions of this section, as may be necessary to effectuate this section.

The governing board and the employee shall have the right to be represented by counsel.

(d) (1) If the member selected by the governing board or the member selected by the employee is employed by any school district in California, such member shall, during any service on a Commission on Profesional Competence, continue to receive salary, fringe benefits, accumulated sick leave, and other leaves and benefits from the district in which the member is employed, but shall receive no additional compensation or honorariums for service on the commission.

(2) If service on a Commission on Professional Competence occurs during summer recess or vacation periods, the member shall receive compensation proportionate to that received during the current or immediately preceding contract period from the member's employing district.

(e) If the governing board orders the dismissal of the employee, the governing board and the employee shall share equally the expenses of the hearing, including the cost of the hearing officer; and the state shall pay any costs incurred under subdivision (d) (2) above, and the reasonable expenses, as determined by the hearing officer, of the member selected by the governing board and the member selected by the employee, and the cost of the substitute or substitutes, if any, for the member selected by the governing board and the member selected by the employee. The State Controller shall pay all claims submitted pursuant to this paragraph from the General Fund, and may prescribe reasonable rules, regulations and forms for the submission of such claims. The employee and the governing board shall pay their own attorney fees.

If the governing board orders that the employee not be dismissed, the governing board shall pay all expenses of the hearing, including the cost of the hearing officer, and any costs incurred under subdivision (d) (2) above, and the reasonable expenses, as determined by the hearing officer, of the member selected by the governing board and the member selected by the employee, and the cost of the substitute or substitutes, if any, for the member selected by the governing board and the member selected by the employee, and reasonable attorney fees incurred by the employee.

Judicial review of decision.

44945. The decision of the Commission on Professional Competence may, on petition of either the governing board or the employee, be reviewed by a court of competent jurisdiction in the same manner as a decision made by a hearing officer under Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2 of the Government Code. The court, on review, shall exercise its independent judgment on the evidence. The proceeding shall be set for hearing at the earliest possible date and shall take precedence over all other cases, except older matters of the same character and matters to which special precedence is given by law.

Reinstatement.

44946. If the employee has been suspended pending the hearing, he shall be reinstated within five days after the governing board's decision in his favor, and shall be paid full salary by the governing board for the period of his suspension.

Legislative intent; establishment of uniform system.

44660. It is the intent of the Legislature that governing boards establish a uniform system of evaluation and assessment of the performance of all certificated personnel within each school district of the state, including schools conducted or maintained by county superintendents of education. The system shall involve the development and adoption by each school district of objective evaluation and assessment guidelines which may, at the discretion of the governing board, be uniform throughout the district or, for compelling reasons, be individually developed for territories or schools within the district, provided that all certificated personnel of the district shall be subject to a system of evaluation and assessment adopted pursuant to this article.

This article does not apply to certificated personnel who are employed on an hourly basis in adult education classes.

Advice of certificated instructional personnel.

44661. In the development and adoption of guidelines and procedures pursuant to this article, the governing board shall avail itself of the advice of the certificated instructional personnel in the district's organization of certificated personnel; provided, however, that the development and adoption of guidelines pursuant to this article shall also be subject to the provisions of Article 1 (commencing with Section 7100) of Chapter 2 of Part 5 of Division 1 of Title 1.

Evaluation and assessment guidelines.

44662. (a) The governing board of each school district shall establish standards of expected student achievement at each grade level in each area of study.

(b) The governing board of each school district shall evaluate and assess certificated employee competency as it reasonably relates to (1) the progress of students toward the established standards, (2) the performance of those noninstructional duties and responsibilities, including supervisory and advisory duties, as may be prescribed by the board, and (3) the establishment and maintenance of a suitable learning environment within the scope of the employee's responsibilities.

(c) The governing board of each school district shall establish and define job responsibilities for those certificated noninstructional personnel, including, but not limited to, supervisory and administrative personnel, whose responsibilities cannot be evaluated appropriately under the provisions of subdivision (b), and shall evaluate and assess the competency of such noninstructional certificated employees as it reasonably relates to the fulfillment of those responsibilities.

(d) The evaluation and assessment of certificated employee competence pursuant to this section shall not include the use of publishers' norms established by standardized tests.

(e) Nothing in this section shall be construed as in any way limiting the authority of school district governing boards to develop and adopt additional evaluation and assessment guidelines or criteria.

Transmission of written copy of evaluation and assessment to employee; response; discussion.

44663. Evaluation and assessment made pursuant to this article shall be reduced to writing and a copy thereof shall be transmitted to the certificated employee not later than 60 days before the end of each school year in which the evaluation takes place. The certificated employee shall have the right to initiate a written reaction or response to the evaluation. Such response shall become a permanent attachment to the employee's personnel file. Before the end of the school year, a meeting shall be held between the certificated personnel and the evaluator to discuss the evaluation.

Frequency; areas of employment; unsatisfactory performance; exclusion.

44664. Evaluation and assessment of the performance of each certificated employee shall be made on a continuing basis, at least once each school year for probationary personnel, and at least every other year for personnel with permanent status. The evaluation shall include recommendations, if necessary, as to areas of improvement in the performance of the employee. In the event an employee is not performing his duties in a satisfactory manner according to the standards prescribed by the governing board, the employing authority shall notify the employee in writing of such fact and describe such unsatisfactory performance. The employing authority shall thereafter confer with the employee making specific recommendations as to areas of improvement in the employee's performance and endeavor to assist him in such performance.

THIS IS NOT AN OFFICIAL COPY OF THE STULL ACT, IT IS FOR INFORMATIONAL USE ONLY

(The "Stull Act" should be administered in conjunction with Section 35171 of the Education Code)

Bureau of Management Services, July 1981

CLINICAL SUPERVISION MODEL

STAGE I: PRE-CONFERENCE WITH TEACHER

Before the observation of the teaching-learning act, a conference is held with the teacher to establish rapport and to give the teacher an understanding of the objectives of Clinical Supervision. It should lay the ground work for communication. The teacher should be aware of the written record which will be made so that they may both use them to recall the lesson in accurate detail.

STAGE II: THE LESSON

The teacher presents his/her lesson. The observer takes anecdotal records of the lesson in terms of the teacher behavior and pupil behavior, the conversations and interactions between the two. The observer does not note opinion or suggestions.

STAGE III: THE OBSERVER'S CONFERENCE - LESSON ANALYSIS

If more than one observer is present, they discuss and review the dialog. If one observer, he makes a rough review and determines the objective for the conference with the teacher.

The analysis is based upon three basic questions:

1. What was the objective of the lesson?
2. Was the objective appropriate?
3. Was the objective reached?

The lesson may be further analyzed in light of the components of the Clinical Teaching Model.

STAGE IV: THE TEACHER CONFERENCE

With the teacher for the first time the observer's objective should be to have the teacher state that he/she found it helpful and would like to do it again.

Otherwise, it is an objective of the observer to bring the teaching-learning act to the conscious level of the teacher. The observer has a specific objective for the conference which the teacher must verbally state at the end of the conference indicating a conscious level of the objective.

The conference procedure would follow the three basic questions regarding the lesson. The lesson is then further refined in light of the Clinical Teaching Model. In addition, the teacher would select the next objective. This objective would be based upon one of four choices: reteach, abandon, elaborate in the degree of difficulty, or going on to the next step. If appropriate, a time for the next observation is determined.

STAGE V: THE POST-CONFERENCE ANALYSIS

During the teacher conference, the observers follow the same procedure used when observing the teacher and make an analysis of the use of learning theory used by the observer in teaching the teacher. A critique of his conference with the teacher is done.

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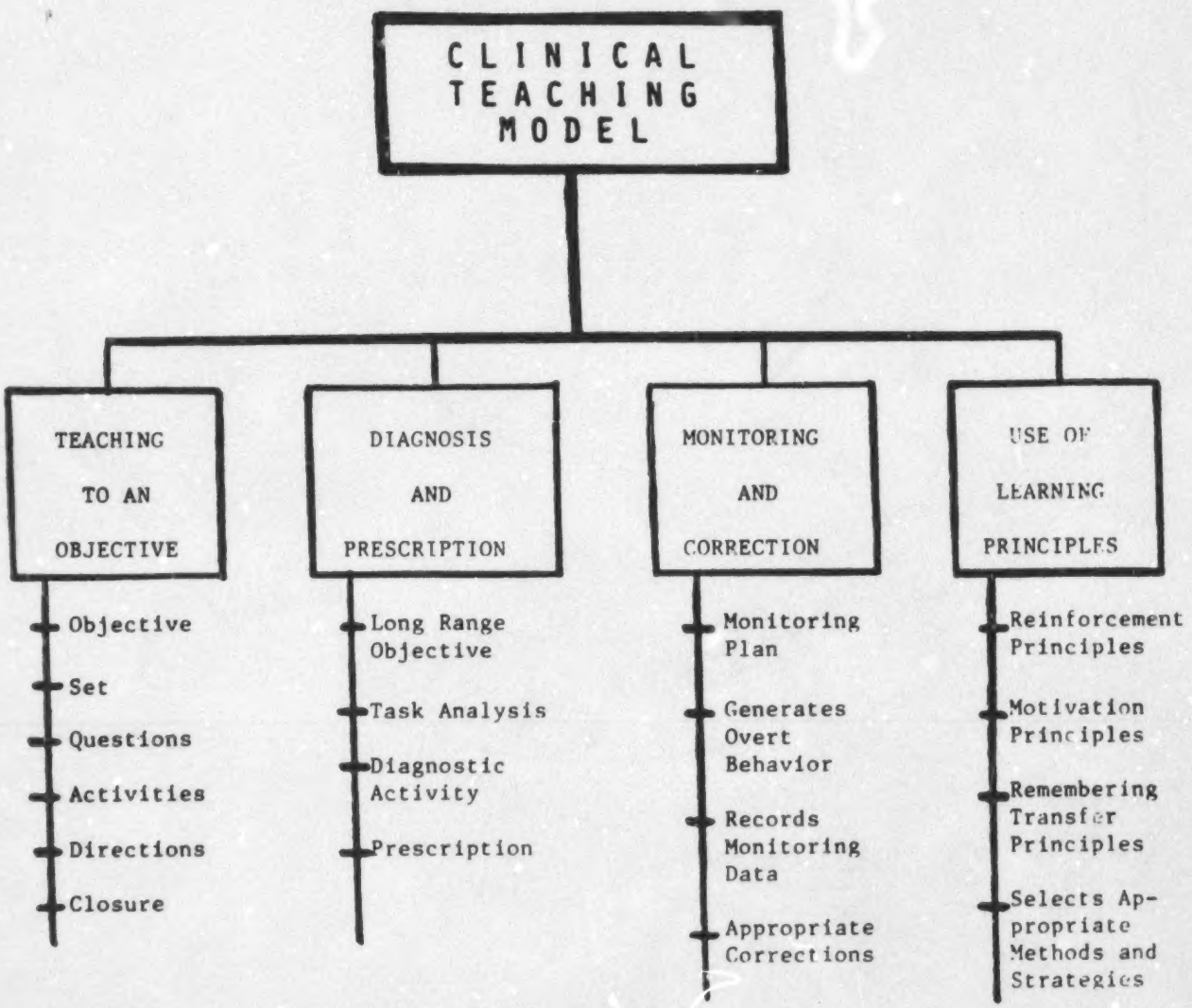
CLINICAL TEACHING MODEL

1. WHAT WAS THE LESSON OBJECTIVE?
2. WAS IT APPROPRIATE?
3. WAS IT REACHED?



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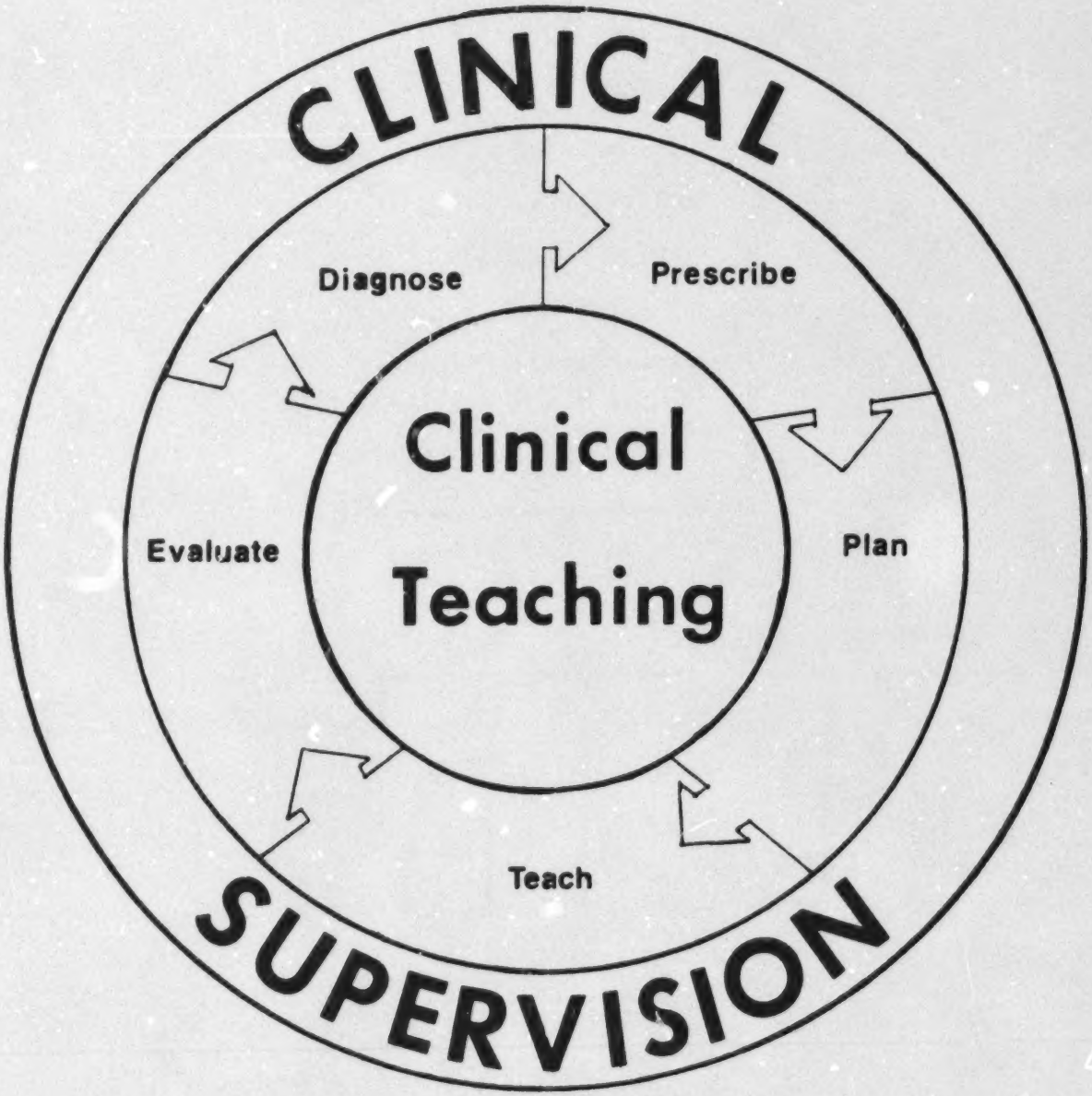

ASK YOURSELF:

1. WHAT WAS THE OBJECTIVE?
2. WAS IT APPROPRIATE?
3. WAS THE OBJECTIVE ACHIEVED?

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STRENGTHS OF THE CLINICAL TEACHING AND SUPERVISION MODELS

1. Presents a systematic approach for instructional improvement and evaluation

2. Offers a basis for making valid decisions regarding the teaching/learning act

3. Establishes a cooperative atmosphere for decision making between the teacher and the administrator

4. Makes provisions for enhancing (changing behavior) teacher skills

5. Establishes the principal or supervisor as an instructional leader

6. Supported by research which shows increased student learning with teachers who have been trained in Clinical Teaching and Supervision

7. Can be used with all instructional materials and strategies

8. Fosters decision-making based on data that is recorded from the lesson and not on the personal biases of the evaluator

9. Promotes accountability on the part of both the teacher and administrator

10. Provides for a system to maximize the administrator's efforts both in instructional improvement and evaluation

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APPENDIX C.

CURRENT STATUS OF THE STULL ACT

I. BACKGROUND

The California teacher evaluation law titled the "Stull Act" was enacted in September 1972. It was revised by Senator John Stull during the 1975-76 legislative session with the changes effective January 1, 1976.

Prior to the Stull Act, California had a certificated employee evaluation law, "Availability of the Rules and Regulations for Evaluation of Performance" (Education Code Section 1009). This section of the California Education Code, in effect since 1968, provides that "school district(s) shall adopt and cause to be printed and made available to each certificated employee ... reasonable rules and regulations providing for the evaluation of the performance of ... their assigned duties." The lack of compliance with that law along with mounting pressures by the public and some educators led to the development of the current Stull Act.

II. STATUS OF THE STULL ACT

A survey by the State Department of Education revealed that 836 or 80 percent of the states' 1,046 school districts have complied with the Act by, (1) setting district goals and objectives, (2) developing uniform standards of assessment and (3) outlining procedures for evaluating personnel. An additional 109 districts or 11 percent are in the planning stage and 101 districts or 9 percent have not yet begun to develop Stull Act programs. Most of the noncomplying districts are small (under 250 units of average daily attendance) and in rural areas.

Implementation of the Stull Act has resulted in identifying and removing poorly performing certificated personnel. For example, in the period March 1973 to October 1975, 122 accusations were filed with the Office of Administrative Hearings by districts complying with the Stull Act. Seventy-six cases were decided on their merits; and of these, fifty-six resulted in dismissal of the employee, while ninteen were decided for the employee and one case resulted in a resignation. Fifteen cases are pending including seven on appeal to the superior court. Of the seventy-six cases heard for cause, nine employees were charged with incompetency, with three dismissals, two retentions and four cases pending.

III. COST IMPLEMENTATION

School districts that have implemented the Stull Act have done so with considerable personnel involvement at the school level and at a cost of approximately $2.00 per ADA. (The cost data, based on a Department sample of 30 districts, includes conference cost, extra staff time, substitute time, consultant pay, and the cost of program materials and their distribution.) The sample constituted 1/5 of the state's total ADA at that time.

IV. CONTENTS OF A TYPICAL (MODEL) DISTRICT PROGRAM

The following is an outline of the major areas included in a typical Stull Act plan. The Department uses this outline to assist school districts in complying with the law. The following material is "suggested" and not required by law. It is presented in the sequence in which it should appear in the district plan.

District Philosophy:

A successful district program contains a statement of the district philosophy and a set of broad goals developed in conjunction with maximum parent, student, educator and community involvement.

This is a general philosophical statement of purpose that provides the public with an outline of the educational position of the community and the governing board.

District Goals:

From the Philosophy statement, broad educational goals should be developed with the same input that was provided in developing the educational philosophy. From the goals specific objectives should be developed which express the community's general educational desires for the district.

District Objectives:

Objectives should be developed on four levels and in conjunction with the district philosophy statement, general goals, and standards of expected student achievement.

1. Objectives for each major subject area that relate to grade level needs should be developed. Such objectives should be determined by the teachers, specialists, and others familiar with the subject matter and in conjunction with related grade level needs.

2. Objectives for Non-Instructional personnel in accord with their respective job descriptions and specifications must be developed.

3. Objectives for each school should be developed by the respective employees and may include student input for grades 7 through 12. School objectives should be consistent with community, student, faculty, and administrative needs, thus setting the educational direction of the school.

4. Annual objectives by classroom should be developed by each teacher at every school. These are the objectives that will set the educational course for each pupil. These objectives should be sent to the parents. They should also be the criteria against which the teacher's progress and effectiveness are evaluated and critiqued.

With the setting of classroom objectives by individual teachers, the district has an interrelationship of philosophy, goals and objectives that set the aims of education in the district as they relate to one another at each grade level. This process also helps to assure that the needs of students are met by the unification of community desires and educator capability in the districts.

Policies and Procedures:

District policies should contain positive procedures for the evaluation of all certificated personnel. It is also recommended that all personnel doing the evaluating be given training in the process of evaluation methods and techniques. The evaluation process should provide specific steps for the assessment and evaluation of employees not performing to district standards, and the standards must be clearly defined. Specific procedures used to provide remedial assistance to "poorly" performing employees should be outlined and every attempt made to improve performance rather than dismiss an employee.

Definitions:

Terms, policies, and procedures must be defined and examples given if the Stull Act program is to be understood by all certificated employees in the district. The provisions of Education Code Section 13487 (a) through (d) should be specifically outlined for all district personnel. For example, if "noise level" is a problem, then it should be defined in a manner that will clearly explain what is an acceptable noise level for each classroom. Discipline and the physical handling of students should also be defined in the context of what constitutes a "suitable learning environment."

Criteria for Evaluation:

An evaluation is the rendering of a subjective judgment concerning overall capability. An assessment is the gathering of objective data concerning performance. Assessment and evaluation administered with fair and impartial judgment to improve performance can be effective. The injection of bias or personal opinion not based on data, or based upon personality differences, can destroy the effectiveness of a Stull Act program. Evaluation, to be effective at any level, must be coupled with extensive and intensive in-service training on methods, techniques and processes.

The evaluation instrument should contain the following:

1. A list of criteria to determine performance on a rating scale, which may include elements such as planning, organization, communication skills, attitude, learning environment, motivation, attainment of objectives, etc., in the classroom.

2. A set of statements related to the strengths and weaknesses of the employee should be included in the evaluation.

3. A section containing suggestions for remediation of weakness and an outline of resources that are available to assist in the improvement of employee performance.

Evaluators should be present, at a minimum, for a full class period and preferably for a half day.

Governing Board Responsibility:

The governing board must formally adopt the districts' policies, processes, procedures, and forms as part of the Stull Act assessment program.

V. EVALUATION ASPECTS OF THE STULL ACT

In adopting and implementing the Stull Act, school districts should undertake this responsibility not merely to comply with the law, but more importantly to enhance learning and accountability within the district and the classroom. Clearly defined job descriptions, performance responsibilities, and learning expectations can serve as a guide for educational directions within each local district.

A genuine desire by the board, the administration and the staff to improve performance and enhance learning can result in a positive and effective Stull Act program on paper as well as in practice.

The following is a partial listing of some approaches to the evaluation of employees:

1. Self appraisal - This enables both the employee and the supervisor to assess their perception of skills and attributes.

2. Peer assessment - At all levels, peer evaluation is most effective if performed by persons from outside the district or from schools or units removed from that of the employee being evaluated.

3. Supervisor evaluation - This should be the supervisor who has direct responsibility for the employee.

4. Reciprocal evaluation - Evaluation between supervisor and employee with a mutually shared critique.

5. Evaluation by retired teachers or employees - Use of respected and previously effective teachers and employees can be an effective independent source of evaluation judgment, especially in the case of assessing a "poorly" performing employee. This provides for a neutral assessment.

6. Evaluation by student teachers - This is a learning technique for the student teacher as well as the master teacher, affording each a fresh view of strengths and weaknesses of the other, affording the student teacher in-service training.

7. Use of county, university, consultant or other educational personnel, especially in the review of "poorly" performing employees.

VI. DISMISSAL PROCEDURES

A. For Certificated Employees Generally

Dismissal should be undertaken in the interest of improving education for the students. It should be used with great care and only as a last resort. Dismissal should be an action taken with a desire to protect the rights of the employee through "proper notice" and "due process." Dismissals should be based upon evidence of fact supported by comprehensive documentation and not by conclusions of judgment. With this in mind, dismissal, which is substantiated, can be made effective against certificated employees with or without tenure.

The following steps should be followed in a dismissal case:

1. Complete and comprehensive documentation of incidents, charges, and causes for the dismissal action.

2. Comprehensive, documented evaluations, from more than one source, with input from qualified persons such as retired teachers, county personnel, private consultants, etc., who have no direct relationship to the employer or employee. This provides an independent judgment in the evaluation process.

3. Complete disclosure to the employee of his/her personnel file and the evidence to be used in the dismissal action. Failure to provide this may result in the action against the employee being dropped.

4. Employees should be provided with the specific charges for his/her dismissal, along with a copy of the Stull Act, a summary of rights and appeal procedures, and be notified of their right to counsel or representation.

5. Full protection of "due process" rights is important in a dismissal case. The employee is entitled to a hearing with an independent judgment of the facts at the highest level of supervision in the employee's organization. In a school district this means that the employee is entitled to a complete hearing on the matter before the superintendent and governing board. The legal counsel for the district should be present at this point and at subsequent events in the dismissal process.

6. If the superintendent determines that dismissal is warranted, a recommendation should be made to the governing board. The board should be advised to conduct a hearing on the facts and render an independent judgment. The hearing should be conducted in a closed executive personnel session. Public hearings in such matters should be avoided. Again, the employee should be advised of his/her right to counsel or representation.

   If the local governing board recommends dismissal, a notice should be served on the employee personally by the superintendent and in addition, sent via special delivery mail to the employee's last official address listed with the district.

   Dismissed employees should be advised of the right to appeal such a decision within 30 days.

   If the district has a well documented case based upon fact and provides for adequate hearings and due process protection, it should have a high potential for success in a dismissal action.

B. For Permanent Teachers (incompetence or unfitness for service)

Dismissal of a permanent teacher should be undertaken only after every possible remedial action to assist the teacher has been exhausted.

If the teacher improves as a result of remediation, the children, the district and the community will benefit. However, keeping an incompetent or incapable teacher is a disservice to the students and the community.

After Stull Act procedures have been adopted by the governing board, the following process should be followed in conjunction with Section A above.

1. A complete evaluation of all teachers must take place before any one teacher can be determined or alleged as performing "poorly."

2. When it has been determined that a teacher is performing poorly, then procedures should be initiated in conjunction with an appropriate board policy, to provide additional assessment and evaluation sessions.

3. Several methods of evaluation should be employed to secure an impartial and professional assessment of performance.

   If the cause for dismissal is incompetency or unfitness for service, the district should proceed to serve a 90-day notice to the employee as provided in Education Code Section 13407. The notice should be in writing and should provide suggestions for remediating the unacceptable performance.

4. If the employee fails to satisfactorily perform after the 90-day remedial assistance period, a dismissal notice effective immediately may be issued. The employee should be informed of his/her right to appeal the dismissal in 30 days to a competency panel. The employee should also be informed that the panel must commence a hearing within 60 days of the dismissal notice. The competency panel may hear all causes for dismissal regardless of the nature of the charge against the employee.

5. If either incompetency or evident unfitness for service is alleged, then the following time sequence for substantiating cause is suggested.

   a. After an initial evaluation in the year previous to dismissal is completed, such evaluation should be given to the employee with suggestions for improvement before May 15th.

   b. In the year after the initial evaluation, the employee should be given assistance, counsel, and additional assessments and evaluations between September and November first.

   c. If the employee continues unsatisfactory performance, then the 90-day remediation notice should be issued between November 1 and December 1 of that term.

   d. If the employee fails to improve by January or February 1 (depending upon the issuance of notice), then dismissal proceedings should commence with input from legal counsel prior to March 1st of that term.

VIII. DEMOTIONS OR REASSIGNMENT OF PERSONNEL

Demotions or reassignment of all certificated personnel, regardless of classification, if based upon incompetency, must be substantiated by previous evaluations rendered in accordance with the Stull Act.

IX. EFFECT OF SB 160 ON THE STULL ACT

Only the procedures related to evaluation are a condition of the contract and subject to negotiations as prescribed by SB 160.

State Department of Education
Bureau of Management Services
May 5, 1976